



Golden cash track Company for Manufacturing

CORPORATE – KNOW YOUR SUPPLIER/CUSTOMER (KYC/KYS) FORM

(To be filled in by Customer/Supplier)

(Form for obtaining information & declaration as per AML/CFT laws)

Customer Verification Form

Company Name:	
TRN Number :	
Company Address:	
Postal Code:	
Mobile No:	Tel:
Email ID :	Web Site:

Company Reg. Number:	Country:
Membership Number :	
Trade License Number:	
Date of Registration :	
Expiry Date of Trade License:	

Company Legal Status (please mark below)

Limited

Liability

Partnership

Proprietary

Public

Other
Specify: _____

BENEFICIAL OWNERS

Shareholder(s) (More Than 10 %)

Percentage Holding (%)	Name	Passport Number	Nationalities	Date of Birth

ULTIMATE BENEFICIAL OWNERS (MORE THAN 10 % - INDIVIDUAL ONLY)

Shareholder(s) (More Than 10 %)

Percentage Holding (%)	Name	Passport Number	Nationalities	Date of Birth

AUTHORISED SIGNATORY LIST:

Name	Title	Signature

Company Main Activity (please mark below)

- | | |
|--|---|
| <input type="checkbox"/> Precious Metal Traders | <input type="checkbox"/> Exporter |
| <input type="checkbox"/> Wholesaler / Manufacturer | <input type="checkbox"/> Retailer (Jewellery) |
| <input type="checkbox"/> Refinery | <input type="checkbox"/> Other: _____ |

ACTIVITY DETAILS:

Company Branch:	
Parent Company:	
Associated Company:	
Areas of Operation:	

BANK DETAILS:

Bank Name:	
Bank Address:	
Account Number:	
IBAN Number:	
BIC / SWIFT Code:	
Currency Used:	

HUMAN RESOURCES:

a. Number of Employees within the Company	
b. Number of Employees within the Group	

ANTI MONEY LAUNDERING (AML) – COMBATING THE FINANCING OF TERRORISM (CFT)

a. Is your Company subject to Anti – Money Laundering / Combating the Financing of Terrorism law	
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b. Name of the AML – CFT Law / Regulation	
c. Name of the Regulator	
d. Has Your Institution established a conformity program that contains AML / CFT policies & procedures, according to internal & international laws, rules & standards	

PRECIOUS METALS SUPPLIERS' DUE DILIGENCE QUESTIONNAIRE

Organization	Yes	No	N/A
a. Does the 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 & Email address			
b. Is the company subject to and AML – CFT audit by an independent party or a governmental party Date of your last AML – CFT compliance audit			
c. Does the Company have an AML – CFT training for Employees			
d. Does the company delegate to third parties some of the compliance functions to be carried us If yes, what functions and to which company do you delegate			
e. How long does the company keep its due diligence files (records)?			

f. What is the typical profile of your precious metal suppliers?

Corporate:	%
Individual persons:	%

g. What type of Information does the Company Request from its precious metal's suppliers?

Companies	Yes	No	Individuals	Yes	No
Company Name			First Name		
Address			Address		
Date of Incorporation			Date of Birth		
Country of Incorporation			Nationality		
Business register extract or equivalent document			Copy of ID card & Passport		
Beneficial Owners			Beneficial Owners		
Origin of Precious metals			Origin of Precious metals		
Description of Main Activity & Financial Information			Supplier Profile (Activity, Wealth, etc.)		

h. Does the Company have a risk-based assessment of its precious metal's suppliers			
i. Does the Company Screen precious metals suppliers & transactions against list of persons, entities or countries issued by government / competent authorities?			
j. Does the Company perform enhanced due diligence for high-risk precious metals suppliers			
k. Does the Company assess its corporate precious metals suppliers' AML – CFT & purchase procedures & Practices?			
Transaction Monitoring	Yes	No	N/A
l. Does the Company perform a risk – based assessment to understand the normal & expected transaction of its suppliers (in order to identify unusual transactions)?			
m. Does the Company have a monitoring program for unusual & potentially suspicious activity that covers funds transfers & monetary instruments (e.g. Travelers cheques) or third-party payments?			
n. Does the Company have to register all purchases & sales? if yes, to which body they are registered?			

o. from the following suppliers does the Company purchases its precious metals & what is the average amount of purchase by deal?

Supplier Type	Purchase Percentage (%)	Average Amount in USD per deal
Bank		
Corporate		
Individual		

p. what usual payment method does the company use to pay its precious metals suppliers?

Payment Type	Percentage (%)
Bank Transfer	
Cash	
Cheque	

q. Does the Company have a procedure in place to prevent, detect & reports suspicious transaction from its suppliers to the relevant authority?

r. How many suspects reports has the company filled & handed over to the relevant Authority the last two years?

s. Does the Company have a maximum amount as per internal policy or regulatory frame work?

- Amount allowed for cash payment?
If yes, how much?
- Amount Per Deal per Supplier in USD?
If yes, how much?

t. Where cash transaction reporting is Mandatory, does the company have procedures to identify transactions structured to avoid such obligations?

DOCUMENTS TO VERIFY IDENTITY & ADDRESS OF THE COMPANY

Note: All the Documents are mandatory

- A copy of valid commercial license.
- Memorandum & Articles of Association (MOA).
- Proof of Address (Utility Bill & Tenancy Contract).
- Tax Registration Number (VAT).
- All Beneficial Owner, Shareholders, Directors & Authorized Signatories Passport, Visa or Saudi ID Copy.
- Sponsors Passport & Saudi ID Copy.

Declarations Source of Funds:

I/We _____ understand that I/we am/are required to declare the source of funds that I/we will be using for the purpose as stated in this application as a part of **Golden cash track Company for Manufacturing**. requirement to open an account. I/We understand the requirements of the Resolution and the Federal Law No. 4 of 2002 as amended by Federal Law No. 9 of 2014 (On Anti Money Laundering and Combating the Financing of Terrorism) and do hereby undertake that the source of funds / metals is acquired from legitimate sources and evidences of such is available if needed or as requested. I / We do hereby undertake that the funds / metals do not originate from any sanctioned country / entity / person/s from the United Nations and other relevant sanction programs.

Responsible Sourcing of Precious Metals:

I / We hereby acknowledge that we received from **Golden cash track Company for Manufacturing**. its Supply Chain Policy and the guidance listed below and we undertake to review it thoroughly and to comply with its provisions.

1. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict- Affected & High- Risk Areas – Supplement in Gold.
2. Ministry of Industry and Mineral Resources Rules for Risk Based Due Diligence in the Gold and Precious Metal Supply Chain.
3. LBMA Responsible Gold Guidance.

I / We confirm that we are observing and complying with domestic and international laws, rules and regulations, including those governing the illicit trade in precious metals and the United Nation Security Council (UNSC) Sanctions. Also, we hereby undertake that our sources of precious metals are free from conflict financing, criminal funding, worst forms of child labour and human rights abuses.

I / We understand that by working with **Golden cash track Company for Manufacturing**., we may be requested to provide supply chain information and documentation for due diligence purposes and failure to cooperate may cause **Golden cash track Company for Manufacturing**. to refuse a shipment or supplier as required by the above-mentioned guidance.

SIGNATURE:

I / We hereby declare that the information given above is true and accurate as of date of writing. I / We undertake to automatically inform **Golden cash track Company for Manufacturing**. of any material changes.

Name:	
Designation:	
Signature	Company Stamp