

MTM



Gold Refinery

DMCC

مصفاة الذهب

م.د.س.م

Account Opening Form

Client name:

Account number:

General instructions to complete the account opening form

- We accept English and Arabic documents only. Documents in other languages should be translated into English or Arabic, and translations to be notarized by a notary public.
- Write only within the white boxed areas; please attach additional pages as appendices, if required.
- Attach clear and legible copies of relevant supporting documents. Section G contains a check-list of documents required initially. Compliance department may require additional documents and/or information for processing the application.
- All sections must be filled with complete information. If a particular section is not applicable, please indicate as "Not Applicable" or "NA". All Annexures must be duly filled-in.
- The review and approval of your application is based on the completeness of the information and documents submitted. Agreements/Contracts will be sent after compliance department has approved your application.
- Account opening form should be signed by a person duly authorized by a valid authorization letter or by a beneficial owner who has majority shareholding.
- For more assistance/questions regarding your application, please contact our CRM department via email khaled.alagha@MTM-O.com or call + 971 4 2441279

Section A GENERAL INFORMATION			
Company Name (as per Trade License/certificate of incorporation):			
Country of Establishment:		Year of Incorporation:	
Registered office Address (Office No., Floor no., Bldg. no., Street, City and Country):			
Principal Office Address (Office No., Floor no., Bldg. no., Street, City, Country):			
Telephone Number (landline):		Fax Number:	
(mobile):			
E-mail address(Mandatory):		Website(if any):	
Type of business activity (Place a "✓" mark below):			
<input type="checkbox"/>	Precious Metal Trader	<input type="checkbox"/>	Miner(small scale/large scale)
<input type="checkbox"/>	Wholesaler / Manufacturer	<input type="checkbox"/>	Refinery
<input type="checkbox"/>	Retailer (Jewellery)	<input type="checkbox"/>	Exporter
<input type="checkbox"/>	Investment Company	<input type="checkbox"/>	Others: _____
List of other business activities			
How long your company has been in the gold and precious metals business:			
Trade References:			
Company Name	Place of business	Contact Person & number	Nature of Business

Section B
 SHAREHOLDERS INFORMATION

Name	% of shares	Registered Address	Contact NO	Email

Section C
 BENEFICIAL OWNERS INFORMATION

Notes:

- *** Please provide all nationalities.** In case of an individual provide passport number; if it is an entity provide registration number and place of incorporation
- All shareholders holding more than 5% shares must be included. If any of the shareholders is a legal entity then provide names and details of all the shareholders of such legal entity in Section C.
- If the shareholders are same as beneficial owners please mention "same as above" in Section C.
- Please fill-in details of senior management persons (who are not shareholders) in Section D.

Name	% of shareholding	Authorised signatory Yes/No	*Passport No. Reg No.	Residential Address Place of Birth	Place & Country of Birth	Nationality */ies	Contact No.	Email	Source of Fund (Inheritance/Business/others)

Section D
DIRECTORS OR SENIOR MANAGEMENT PERSONS (WHO ARE NOT SHAREHOLDERS)

Name	Authorised signatory Yes/No	*Passport No. Reg No.	Residential Address	Place & Country of Birth	Nationality */ies	Contact No	Email

Section E
FINANCIAL INFORMATION

Bank Name1:	
Bank Address:	
Beneficiary Name:	
Beneficiary Address:	
Account Number:	Currency:
Bank Name2:	
Bank Address:	
Beneficiary Name:	
Beneficiary Address:	
Account Number:	Currency:
Financial Details	
Share Capital:	Total Shareholder's Equity:
Sales:	Net Income:

Section F PROPOSED BUSINESS DETAILS				
Nature of Business (Place a "✓" mark below):				
Refining Services:	<input type="checkbox"/>	Gold	<input type="checkbox"/>	Silver
Precious Metal Information				
Commodity Type	Dore(Mined) Bars	Scrap Jewellery/Bar	Semi-Refined Bars	Fine Gold Bars (LBMA, DGD)
Country of Origin				
Expected Purity				
Expected Quantity per Delivery (KG)				
Expected Frequency Per Month				
Type of Delivery (Hand Carry or Cargo)				
Arrangement of Delivery and Logistics Services: (Place a "✓" mark):	<input type="checkbox"/>	Own arrangement	<input type="checkbox"/>	The Company

Section G REQUIRED DOCUMENTS		
<i>Please submit scanned copy of all the documents required for initial review by the Compliance Department. You will be advised when to submit the physical copies as may be required. Please note that all documents should be valid, expired documents will not be accepted</i>		
Particulars	Yes	No
A. Account Opening Form (Original Copy)		
B. Trade License (valid copy)		
C. Address Proof (copy of latest utility bill, landline telephone bill, tenancy contract or ownership document)		
D. Memorandum and Article of Association / Share Register (submit amendments, if any)		
E. Certified passport copies of all beneficial owners (holding 25% or more share capital) of the company. Certified passport copies of all authorized signatories declared to operate on this account. *If the passport has no specimen signature sample, submit additional valid ID for specimen signature verification		
F. Latest audited financial statements together with auditors report		
G. Bank reference letter from the Bank in which the Company has operating account or Bank statement		
H. Company authorization letter/ power of attorney for authorized signatory		
I. Residential address proof of Signatory of this Application (utility bill, landline telephone bill or tenancy contact/ownership document)		
For scrap jewellery and/or pure gold supply chain customers, please submit the following:		
Sample of Invoices (at least 2-3) showing the purchased date and country of origin - should be dated at least 1 year from the date of this application - should submit for each country of origin		
Source of Gold statement (sample format will be sent upon request)		
For Dore (<i>mine originated</i>) bars supply chain customers, please submit the following:		
<p>H(1) <i>If you receive gold from a mine customer/owner</i></p> <ul style="list-style-type: none"> - Customer's trade license - Customer's Export License (if applicable) - Customer's Memorandum and Article of Association - Mine owner's Mining License (from which mine the gold come from) - Customer's passport copies (all beneficial owners mentioned on MOA) 	<p>H(2) <i>If you are a mine owner</i></p> <ul style="list-style-type: none"> - Mining License - Passport copies of mine owners 	

DECLARATION

Source of Funds and Equities

The undersigned hereby warrants to _____ that the Metals/Funds to be delivered to _____ for refining services and have been procured through legal means and have been acquired from legitimate sources not involved in funding conflict or non-compliance with any United Nations sanctions, resolutions, or human rights violations. To the best of my knowledge, I the undersigned hereby guarantees that these Metals are conflict-free, free from child labour, and have been sourced through proper channels.

Source of Metals

I, the undersigned agree that all documents (actual invoice, custom's paper, airway bill) regarding the origin of the metal will be declared to _____. This is part of the policies and procedures implemented by the compliance department and in line with MOE and OECD's Guidance for Responsible Supply Chain. In case of any future changes with the origin of the precious metals, I agree to advise the company beforehand and to provide supporting documents prior to sending any delivery/shipment. Upon having my account, I will be responsible and accountable to update my information and submit any documents that are necessary for the compliance team.

I, -----(name), the authorized signatory and/or beneficial owner, do hereby declare that, to the best of my knowledge and belief, having made due enquiry, the information given in this application form, the supplements and documents attached, as well as supporting documents, is complete, true and correct.

I confirm that I have the authority to make this application, to declare as specified above and sign this form for and on behalf of the Company.

Company Name: _____ **Company Stamp:**

Authorized Person(s) Name: _____ **Date:** _____

Signature: _____ **Designation:** _____



i. Questionnaire – Mined Material

Questionnaire – Mined Material

Client name:

Account number:

General instructions to complete the form

- Complete the form in capital letters with a black ballpoint pen clearly or you may type the information.
- Write only within the white boxed areas; please attach additional pages as appendices, if required.
- All sections must be filled with complete information. If a section is not applicable, please indicate as “Not Applicable” or “NA”. All Annexures must be duly filled-in.
- Please fill in the answers based on your verifications and to the extent information is available with you.
- “Supplier” means all parties involved in the supply of gold/silver from a mine to MTM&O.
- If there are multiple suppliers, you deal with please fill in the excel sheet provided for Section B questions c to g.

Please identify the type of suppliers you deal with.			
Miners	Consolidators	Both	Others-Please specify

**Section A
REGULATORY ENVIRONMENT**

Verifications			
a. Are there any health and safety regulations in the country/province of supplier operations?			
b. Are there any environmental regulations in the country/province of supplier operations?			
b. Are there any laws & regulations relating to employment conditions in the country/province of supplier operations?			
c. Are there any child labor regulations in the country/province of the supplier operations?			
d. Is the Government of the relevant country/province responsible for enforcement of the above regulations?			

Section B ORIGIN OF PHYSICAL PRECIOUS METALS, CAPACITY AND MINING PRACTICES	
a. Are any of your suppliers located in areas where there are gross violations of human rights, serious armed conflicts and/or affected by United Nations sanctions?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments (if any):
b. From how many mining site(s) is the gold/silver extracted?	
c. Name of the mining site(s):	
d. Where are the mining site(s) located? (country, province, closest city, GPS coordinate)?	
e. Is the mining site(s) legally required to hold a mining license?	<input type="checkbox"/> Yes <input type="checkbox"/> No
f. What is the average daily production of the mining site(s)?	
g. How many people on an average are working on the mining site(s)?	
h. Are there procedures at the mining site to ensure prevention of child labor?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments (if any):
i. Are there any armed groups stationed on/near the suppliers' business operations which indulge in illegal extortion of money?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments (if any):
j. Does the suppliers business operations protected by professional security forces and/or government forces (for e.g. police)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
k. Is the Government authority responsible for mining or supplier operations and do they carry out on-site visits?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section C
MATERIALS

a. What type of precious metals is the Company planning to send for refining?

Gold Silver Others, please specify:

b. What is the form of precious metals planned to be sent for refining?

Gold concentrate Gold Ore

Silver concentrate Silver Ore

Section D
TRANSPORTATION

a. How is the ore transported from the mining sites to the processing plant?

By your company

b. What is the mode of transport of ore from the processing plant to the export location?

c. What is the mode of transportation of the ore from the export location to the refinery?

d. Is there any military/police checkpoint?

along the road from the mining site until the export location?

Yes

Section E
RESPONSIBLE PRECIOUS METAL SUPPLY CHAIN POLICY

a. Has the Company established a responsible supply chain of gold from conflict-affected and high-risk areas policy which is consistent with DMCC and OECD guidelines?	() Yes – Please provide a copy
b. Does your company comply with any other industry initiatives/standards?	() Yes () No
Comments (if any):	
c. What are the procedures you have in place to ensure that the precious metals purchased have not financed a conflict?	

Section F
ANTI MONEY LANDERING (AML) – COMBATING FINANCING of TERRORISM (CFT)

a. Is your company subject to Anti-Money Laundering/Combating financing of terrorism Law/Regulation?	() Yes () No
c. Name of the AML-CFT Law/Regulation	
d. Name of the Regulator	
d. Did your company establish a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards?	() Yes – Please provide a copy () No

Organization	YES	NO	Comments
a. Does the Company have a person responsible (Compliance Officer) for all? AML-CFT matters (Due Diligence, AML policies, internal training)?			

b. Is the Company subject to an AML-CFT audit by an independent party or a governmental party?																																																									
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j. Does the Company assess its corporate precious metals suppliers' AML- CFT																																																									

Transactions monitoring	YES	NO	Comments
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k. 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)?															
l. 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?															
m. From which of the following suppliers does the Company purchase its precious metals and what is the average amount of purchase by deal?															
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Checks															
Cash															
o. Does the Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to the relevant Authority?															
p. Has any suspicious transactions reports filled and handed over to the relevant Authority in the last two years by your company?															
q. Does the Company have a maximum amount as per internal policy or regulatory framework: <ul style="list-style-type: none"> • amount allowed for cash payment. If yes, how much?															
r. Where cash transaction reporting is mandatory, does the Company have procedures to identify transactions structured to avoid such obligations?															

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

Declaration

I hereby declare that, to the best of my knowledge and belief, having made due enquiry, the information given above, as well as in the supporting documents attached, is true and accurate as of the date of writing. I undertake to automatically inform *[The refinery]* of any material changes.

I confirm that I have the authority to declare as specified above, and complete and sign this form for and on behalf of the Company.

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

ii. Questionnaire – Recycled Material

Questionnaire – Recyclable Material

Client name:

Account number:

General instructions to complete the form

- Complete the form in capital letters with a black ballpoint pen clearly or you may type the information.
- Write only within the white boxed areas; please attach additional pages as appendices, if required.
- All sections must be filled with complete information. If a section is not applicable, please indicate as “Not Applicable” or “NA”. All Annexures must be duly filled-in.
- Please fill in the answers based on your verifications and to the extent information is available with you.
- “Rudimentary bars” means Recyclable Gold which has been melted as the first recycling process and cast into rudimentary bars or some other form with undefined dimensions and variable fineness. Mentioned in the questionnaire as scrap bars.
- Unprocessed recyclable gold – Recyclable Gold still in its original form and/or fabrication scrap, before it has been returned for processing and refining (e.g. bullion bars, pieces of jewelry, ornaments, coins, machine turnings, etc.)

Please identify the type of suppliers you deal with.		
Individuals	Corporates	Both

Section A FACILITIES AND TYPE OF METALS		
Verifications		
a. Do you have any smelting or refining facilities?		
b. Does the Company have any manufacturing facilities?		
c. Does the Company produce its own jewelry?		
d. What are the types and forms of precious metals sourced by your Company <input type="checkbox"/> Rudimentary/Scrap Bars or other forms after melting <input type="checkbox"/> Unprocessed recyclable gold		
e. What type of precious metals is the Company planning to send for refining? <input type="checkbox"/> Gold <input type="checkbox"/> Others, please specify: <input type="checkbox"/> Silver		

f. What is the form of precious metals planned to be sent for refining?

() Rudimentary Bars or other forms after melting () Unprocessed recyclable gold

() Jewelry () Broken jewelry () Collected waste () Coins () Others, please specify

Section B ORIGIN OF PHYSICAL PRECIOUS METALS	
a. Country(ies) of origin of rudimentary bars (or other forms after melting) delivered to us?	
c. Country(ies) of origin of unprocessed recyclable gold delivered to us?	
d. Countries of destination of precious metals?	
e. Is the Company legally required to have a license to import precious metals?	() YES– Please provide a copy () NO
f. Is the Company legally required to have a license to export precious metals?	() YES– Please provide a copy () NO

Section C
RESPONSIBLE PRECIOUS METAL SUPPLY CHAIN POLICY

a. Does your company source gold from conflict-affected and high-risk areas? If so, whether it is consistent with MOE and OECD guidelines?	() Yes () No Comments (if any):
b. Does your company comply with any other industry initiatives/standards relating to responsible sourcing of gold?	() Yes () No Comments (if any):
c. What are the procedures you have in place to ensure that the precious metals purchased have not financed a conflict?	

Section D
ANTI MONEY LANDERING (AML) – COMBATING FINANCING of TERRORISM (CFT)

a. Is your company subject to Anti-Money Laundering/Combating financing of terrorism Law/Regulation?	() Yes () No
b. Name of the AML-CFT Law/Regulation	
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d. Did your company establish a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards?	() Yes – Please provide a copy () No

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

SIGNATURE

I hereby declare that, to the best of my knowledge and belief, having made due enquiry, the information given above, as well as in the supporting documents attached, is true and accurate as of the date of writing. I undertake to automatically inform *MTM & O* of any material changes.

I confirm that I have the authority to declare as specified above, and complete and sign this form for and on behalf of the Company.

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

iii. Supply Chain Assessment Form

Counterparty	
Counterparty's country of incorporation	
Relationship Manager	

1. Summary of origin of precious metals and supply chain description

2. High risk criteria

- The mined or recycled material originates from, has transited or has been transported via a conflict-affected or human rights abuse high risk area.
- The mined material is claimed to be originated from a country that has limited known reserves, likely resources or expected production levels of gold/silver.
- The recycled material comes from a country where conflict affected, and human rights abuse high risk areas are known, or reasonably suspected, to transit.
- Gold/Silver supplying counterparty or other known upstream companies are in a country representing high risk for money laundering, crime or corruption.
- Gold/Silver supplying counterparty or other known upstream companies or their beneficial owners are politically exposed persons.
- Gold/Silver supplying counterparty or other known upstream companies are active in a higher-risk business activity such as arms, gaming and casino industry, antiques and art, sects and their leaders etc.

3. Risk level of the business relationship

- High Medium Low

Rationale:

4. Approval

Compliance
Name:
Date:

Accounts Department
Name:
Date:

Senior Management (**for High Risk**)
Name:
Date:

5. Review Process

Review date:

Review comments:

Risk level:

High Medium Low

Approval:

Compliance
Name:
Date:

Senior Management (**for High Risk**)
Name:
Date:

Please note that this form is a minimum requirement to be completed in addition to your existing internal policies.