

**1. COMPANY DETAILS**

<b>A</b>	<b>Name</b>	
<b>B</b>	<b>Registered Address</b>	
<b>C</b>	<b>Business Address</b>	
<b>D</b>	<b>Phone Number</b>	
<b>E</b>	<b>Date of Incorporation</b>	
<b>F</b>	<b>Country of Incorporation</b>	
<b>G</b>	<b>Business Registration Number</b>	
<b>H</b>	<b>Tax Identification/Registration number</b>	
<b>I</b>	<b>If listed, indicate name of stock exchange(s) and ticker</b>	
<b>J</b>	<b>Website</b>	
<b>K</b>	<b>External Financial Auditors</b>	
<b>L</b>	<b>How many direct and indirect subsidiaries does the company have?</b> <i>Please provide a Group chart</i>	

**2. BUSINESS ACTIVITY**

<b>A</b>	<b>Type of Business</b>	<input type="checkbox"/> Bank <input type="checkbox"/> Precious Metals Trader/Dealer <input type="checkbox"/> Other Financial Intermediary Industrial <input type="checkbox"/> Wholesaler <input type="checkbox"/> Jeweler <input type="checkbox"/> Scrap dealer <input type="checkbox"/> Coins dealer <input type="checkbox"/> Mint <input type="checkbox"/> Others, please specify: _____
<b>B</b>	<b>Description of core business activity</b>	
<b>C</b>	<b>Does the company hold a license to conduct its business(es)?</b> <i>Please provide a copy(ies)</i>	
<b>D</b>	<b>Main Market</b>	
<b>E</b>	<b>Main Products</b>	





**3. BENEFICIAL OWNERS**

**SHAREHOLDER(S) (MORE THAN 25%)**

Percentage Holding (%)	Name	Address	Country of Incorporation/Nationality(ies)	Date of Incorporation/Date of Birth

**ULTIMATE BENEFICIAL OWNER (MORE THAN 25% - INDIVIDUAL ONLY)**

Percentage Holding (%)	Name	Address	Nationality(ies)	Date of birth

**4. MANAGEMENT STRUCTURE (Board of Directors/ Key Management details)**

Names	Title/Designation	Nationality(ies)	Date of Birth



**5. HUMAN RESOURCES**

<b>A</b>	<b>Number of Employees within the Company</b>	
<b>B</b>	<b>Number of Employees within the Group</b>	

**6. ORIGIN OF PHYSICAL PRECIOUS METALS**

<b>A</b>	<b>Profile of your precious metal's suppliers (Individual / Company)</b>	
<b>B</b>	<b>Country(ies) of origin of precious metals delivered to us?</b>	
<b>C</b>	<b>Countries of destination of precious metals delivered once refined?</b>	
<b>D</b>	<b>Is the Company legally required to have a license to import precious metals?</b>	Yes – Please provide a copy No N/A
<b>E</b>	<b>Is the Company legally required to have a license to export precious metals?</b>	Yes – Please provide a copy No N/A

<b>7. FACILITIES</b>		<b>YES</b>	<b>NO</b>	<b>N/A</b>
----------------------	--	------------	-----------	------------

<b>A</b>	<b>Does the Company have any smelting or refining facilities?</b>			
<b>B</b>	<b>Does the Company have any manufacturing facilities?</b>			
<b>C</b>	<b>Does the Company produce its own jewelry?</b>			

<b>D</b>	<b>What are the types, forms and percentage of precious metals sourced by the Company</b>			
	<input type="checkbox"/> Recycled precious metals (_____%) <input type="checkbox"/> LBMA GD Bullion <input type="checkbox"/> Non LBMA Good Delivery Bullion (Au =>995 / AG =>9999) <input type="checkbox"/> Rudimentary Bars <input type="checkbox"/> Jewelry <input type="checkbox"/> Broken jewelry <input type="checkbox"/> Coins <input type="checkbox"/> Collected Waste <input type="checkbox"/> Others, (please specify) _____ <input type="checkbox"/> Primary Material-Mined Precious Metal (____%)			



<b>8. RESPONSIBLE PRECIOUS METAL SUPPLY CHAIN POLICY</b>		
<b>A</b>	<b>Did your institution establish a responsible supply chain of gold from conflict-affected and high-risk areas policy which is consistent with the standards set forth in the model supply chain policy in Annex II of the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?</b> <a href="http://www.oecd.org/daf/inv/mne/GuidanceEdition2.pdf">http://www.oecd.org/daf/inv/mne/GuidanceEdition2.pdf</a>	Yes – Please provide a copy  No
<b>B</b>	<b>Does your institution comply or plan to comply with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?</b>	Currently complies Plans to comply No  No
<b>C</b>	<b>Is the company complying with any of the following industry initiatives?</b>  <input type="checkbox"/> LBMA Responsible Gold Guidance <input type="checkbox"/> LBMA Responsible Silver Guidance <input type="checkbox"/> RJC Chain of Custody Standard <input type="checkbox"/> WGC Conflict Free Gold Standard <input type="checkbox"/> Conflict Free Smelter (CFS) Program <input type="checkbox"/> Others, please specify: _____	Additional comments:
<b>D</b>	<b>What are the procedures in place to ensure that the precious metals purchased have not financed conflict?</b>	

<b>9. ANTI MONEY LANDING (AML) – COMBATING FINANCIAL TERRORISM (CFT)</b>		
<b>A</b>	<b>Is your institution subject to Anti-Money Laundering/Combating financial terrorism Law/Regulation</b>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
<b>B</b>	<b>b. Name of the AML-CFT Law/Regulation</b>	
<b>C</b>	<b>c. Name of the Regulator</b>	
<b>D</b>	<b>d. Has your institution established a conformity program that contains AML/CFT policies and procedures, according to internal &amp; international laws, rules and standards?</b>	<input type="checkbox"/> Yes – Please provide a copy  <input type="checkbox"/> No

<b>10. BRIBERY POLICY</b>		
<b>A</b>	<b>Does your Company have any bribery policy in place?</b>	<input type="checkbox"/> Yes – Please provide a copy  <input type="checkbox"/> No
<b>B</b>	<b>Has the company or the Senior Management ever been charged anywhere in the world for violation of applicable anti-bribery laws or regulations?</b>	<input type="checkbox"/> Yes – Please provide details  <input type="checkbox"/> No



11. Data Privacy Protection	
A	<b>Does your company have Data Protection Policy?</b> <input type="checkbox"/> Yes  <input type="checkbox"/> No
B	<b>Does your company have Data Protection Commissioner?</b> <input type="checkbox"/> Yes  <input type="checkbox"/> No
C	<b>Does your company have a certified data storage system or an information system?</b> <input type="checkbox"/> Yes  <input type="checkbox"/> No

12. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE																																																										
Organization	YES	NO	N/A																																																							
A	<b>Does the Company have a person responsible (Compliance Officer) for all AML-CFT matters (Due Diligence, AML policies, internal training)?</b> <i>If yes, please provide us with his/her name, phone number and e-mail address</i>																																																									
B	<b>Is the Company subject to an AML-CFT audit by an independent party or a governmental party?</b> <i>Date of your last AML-CFT compliance audit:</i>																																																									
C	<b>Does the Company have an AML-CFT training for the employees?</b>																																																									
D	<b>Does the Company delegate to third parties some of the compliance functions to be carried out?</b> <i>If yes, what functions and to which company do you delegate?</i>																																																									
E	<b>How long does the Company keep its due diligence files (records)?</b>																																																									
F	<b>What is the typical profile of your precious metal's suppliers?</b> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <span>Corporate ( _____ %)</span> <span>Individual persons ( _____ %)</span> </div>																																																									
G	<b>What type of information does the Company request from its precious metal's suppliers?</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #f4a460;"> <th style="width: 30%;">Companies</th> <th style="width: 10%;">YES</th> <th style="width: 10%;">NO</th> <th style="width: 30%;">Individuals</th> <th style="width: 10%;">YES</th> <th style="width: 10%;">NO</th> </tr> </thead> <tbody> <tr> <td>Company name</td> <td></td> <td></td> <td>Name and first name</td> <td></td> <td></td> </tr> <tr> <td>Address</td> <td></td> <td></td> <td>Address</td> <td></td> <td></td> </tr> <tr> <td>Date of Incorporation</td> <td></td> <td></td> <td>Date of birth</td> <td></td> <td></td> </tr> <tr> <td>Country of Incorporation</td> <td></td> <td></td> <td>Nationality</td> <td></td> <td></td> </tr> <tr> <td>Business register extract or equivalent document</td> <td></td> <td></td> <td>Copy of ID card or passport</td> <td></td> <td></td> </tr> <tr> <td>Beneficial Owners</td> <td></td> <td></td> <td>Beneficial Owners</td> <td></td> <td></td> </tr> <tr> <td>Origin of Precious Metals</td> <td></td> <td></td> <td>Origin of Precious Metals</td> <td></td> <td></td> </tr> <tr> <td>Description of main activity and financial information</td> <td></td> <td></td> <td>Supplier profile (activity, wealth, etc.)</td> <td></td> <td></td> </tr> </tbody> </table>				Companies	YES	NO	Individuals	YES	NO	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			Beneficial Owners			Origin of Precious Metals			Origin of Precious Metals			Description of main activity and financial information			Supplier profile (activity, wealth, etc.)		
Companies	YES	NO	Individuals	YES	NO																																																					
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			Beneficial Owners																																																							
Origin of Precious Metals			Origin of Precious Metals																																																							
Description of main activity and financial information			Supplier profile (activity, wealth, etc.)																																																							





<i>Organization (cont....)</i>		YES	NO	N/A								
H	Does the Company have a risk-based assessment of its precious metal's suppliers (e.g., low, medium or high risks)?											
I	Does the Company screen precious metals suppliers and transactions against lists 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 and purchase procedures and practices?											
<i>Transactions monitoring</i>		YES	NO	N/A								
L	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)?											
M	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?											
N	Does the Company have to register all purchases and sales?											
O	From which of the following suppliers does the Company purchase its precious metals and what is the average amount of purchase by deal?											
	<table border="1"> <thead> <tr> <th>Supplier type</th> <th>Purchase percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank</td> <td></td> </tr> <tr> <td>Corporate</td> <td></td> </tr> <tr> <td>Individual</td> <td></td> </tr> </tbody> </table>		Supplier type	Purchase percentage (%)	Bank		Corporate		Individual			
	Supplier type	Purchase percentage (%)										
	Bank											
Corporate												
Individual												
<table border="1"> <thead> <tr> <th>Supplier type</th> <th>Purchase percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank</td> <td></td> </tr> <tr> <td>Corporate</td> <td></td> </tr> <tr> <td>Individual</td> <td></td> </tr> </tbody> </table>		Supplier type	Purchase percentage (%)	Bank		Corporate		Individual				
Supplier type	Purchase percentage (%)											
Bank												
Corporate												
Individual												
<table border="1"> <thead> <tr> <th>Supplier type</th> <th>Purchase percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank</td> <td></td> </tr> <tr> <td>Corporate</td> <td></td> </tr> <tr> <td>Individual</td> <td></td> </tr> </tbody> </table>		Supplier type	Purchase percentage (%)	Bank		Corporate		Individual				
Supplier type	Purchase percentage (%)											
Bank												
Corporate												
Individual												
P	What usual payment method does the Company use to pay its precious metals suppliers?											
	<table border="1"> <thead> <tr> <th>Payment type</th> <th>Percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank transfers</td> <td></td> </tr> <tr> <td>Checks</td> <td></td> </tr> <tr> <td>Cash</td> <td></td> </tr> </tbody> </table>		Payment type	Percentage (%)	Bank transfers		Checks		Cash			
	Payment type	Percentage (%)										
	Bank transfers											
Checks												
Cash												
<table border="1"> <thead> <tr> <th>Payment type</th> <th>Percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank transfers</td> <td></td> </tr> <tr> <td>Checks</td> <td></td> </tr> <tr> <td>Cash</td> <td></td> </tr> </tbody> </table>		Payment type	Percentage (%)	Bank transfers		Checks		Cash				
Payment type	Percentage (%)											
Bank transfers												
Checks												
Cash												
<table border="1"> <thead> <tr> <th>Payment type</th> <th>Percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank transfers</td> <td></td> </tr> <tr> <td>Checks</td> <td></td> </tr> <tr> <td>Cash</td> <td></td> </tr> </tbody> </table>		Payment type	Percentage (%)	Bank transfers		Checks		Cash				
Payment type	Percentage (%)											
Bank transfers												
Checks												
Cash												
Q	Does the Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to the relevant Authority?											
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):

---



---



---



---



---



---

**SIGNATURE**

- I hereby declare that the information given above is true and accurate as of the date of writing.
- I undertake to automatically inform of any material changes.

	Authorized Signatory	Authorized Signatory
<b>Signature &amp; Company Stamp/Chop</b>		
<b>Name</b>		
<b>Title:</b>		
<b>Company Name</b>		
<b>Date:</b>		

