

# **ARTIA JEWELLERY L.L.C**

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*COMPANY KYC POLICY for Wholesale*

## 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 (&lt;100,000 oz/year)</li><li>• Medium scale (30-100,000 oz /year)</li><li>• Small-scale (&gt; 100,000 oz / year)</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

Shareholders (more than 25%)				
<b>Percentage (%)</b>	<b>Name</b>	<b>Address</b>	<b>Country of Incorporation/ Nationality</b>	<b>Date of Incorporation/ Date of Birth</b>

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

#### 4. ADMINISTRATION STRUCTURE

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

#### 5. FINANCIAL INFORMATION

5.1 Financial statements details			
	<b>Currency</b>	<b>Last Report Period</b>	<b>Last year</b>
Paid up capital			
Purchases			
Sales			
Net Income			
<i>Provide a copy of the latest annual report</i>			
5.2 Other Financial Information			
<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>		

## 6. Source of Funds Information

Kindly tells us the Source Of Funds?	
Kindly tells us the Source Of Funds?	

## 7. HUMAN RESOURCES

No. of Employees in the Company	
No. of Employees in the Group	

## 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)

<b>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?</b> <ul style="list-style-type: none"><li>• YES</li><li>• NO</li></ul> <b>If yes, Please provide details of the position below (title, department, country, etc)</b>
<b>Do any family member/close associate of your directors, shareholders or authorized</b>

**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**

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

## 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 **ARTIA JEWELLERY L.L.C** of any material changes in the information provided herein and agree that **ARTIA JEWELLERY L.L.C** 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 **ARTIA JEWELLERY L.L.C** 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 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.
- 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.

Documents do not need to be certified, however wherever possible an employee or representative of **ARTIA JEWELLERY L.L.C** should verify the IDs of the Directors.