



Account Opening Application & KYC FORM

Suppliers

(To Be Filled Out Separately For Each Legal Entity)

| | | |
|-------------------------|---|---|
| TYPE OF BUSINESS | Government Entities | Financial Institutions |
| | Member of Borsa Istanbul Precious Metals Exchange | Corporate - Gold Trading Experienced a. Trading Company b. Mining Company |
| | Corporate - No Gold Trading Experience | Service Providers |
| | Other; please specify: | |

1. COMPANY DETAILS

| | |
|--|--|
| a. Legal Name | |
| b. Country of incorporation | |
| c. Registered Business Address | |
| d. Business registration number <i>(if applicable)</i> | |
| e. Registered phone number | |
| f. Tax Identification/Registration number <i>(if applicable)</i> | |
| g. Number of Employees | |
| h. Years of Precious Metals Trading Experience | |
| i. If listed, indicate name of stock exchange(s) and ticker symbol | |
| j. Website address | |



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2. BUSINESS ACTIVITY

a. Description of core business activity

b. Category for Mined Gold Suppliers

Aggregator

Mine Owner

Export Service Provider

3. MANAGEMENT STRUCTURE *(List names of Directors/Key Senior Management below)*

Name

Job Title

Nationality(ies)

Date of birth

4. BENEFICIAL OWNERS: CORPORATE SHAREHOLDER(S) MORE THAN 25%

Percentage Holding (%)

Legal Name

Country of incorporation

Date of incorporation

signature



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BENEFICIAL OWNERS: INDIVIDUAL SHAREHOLDERS OF MORE THAN 10%

(Ultimate Beneficial Owners holding >25% are required to supply ID & Address verification documents)

| Percentage Holding (%) | Name | Address | Date of birth |
|------------------------|------|---------|---------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

5. BEARER OR NOMINEE SHARES

YES

NO

Are there any bearer shares or nominee shareholders within the corporate structure?

▶ If yes, please provide details below:

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6. AUTHORIZED SIGNATORIES CONTACT DETAILS

CONTACT 1

| | |
|-----------------------|--|
| Full Name | |
| Job Title | |
| Phone / Mobile Number | |
| Email Address | |

CONTACT 2

| | |
|-----------------------|--|
| Full Name | |
| Job Title | |
| Phone / Mobile Number | |
| Email Address | |

7. POLITICALLY EXPOSED PERSONS

YES

NO

a. Do any of the individuals listed in 3 and 4 above falls within the definition of a politically exposed person under the UK Money Laundering Regulations 2007?

<http://www.legislation.gov.uk/uksi/2007/2157/regulation/14/made>

► If yes, please provide details below:

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| | YES | NO |
|---|-----|----|
| b. Does your company supply precious metals which originates from Politically Exposed Persons? | | |
| ▶ If yes, please provide details below: | | |

BANKING DETAILS

| | |
|--------------------------------------|--|
| Account Owner Full Legal Name | |
| Account Number / IBAN | |
| Bank and Branch Information | |
| Bank Address | |
| Bank SWIFT Code | |

REGULATORY ENVIRONMENT

(If selected yes, please specify the regulation and authority name)

| | YES | NO |
|---|-----|----|
| Does your Company need to comply with detailed health and safety Regulations in the country/province of operations? | | |
| Does your Company need to comply with detailed environmental Regulations in the country/province of operations? | | |
| Are crimes against human rights (such as worst forms of child labor, forced labor, etc) as detailed in the OECD Guidance regulated in mining activity in the country/province of Operations? | | |
| Is the use of public security forces on or around the mine site regulated? | | |
| Is your company subject to Anti-Money Laundering / Combating financial terrorism Law/Regulation? | | |

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8. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE

8.1. ANTI MONEY LAUNDERING (AML) & COMBATING FINANCIAL TERRORISM (CFT)

| Organisation | YES | NO | N/A |
|--|------------------------------------|----|-----|
| a. Does your 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 and e-mail address below: | | | |
| b. Is your Company subject to an AML-CFT audit by an independent party or government agency? | | | |
| ▶ Date of your last AML-CFT compliance audit: | | | |
| c. Does your Company have an AML-CFT training for the employees? | | | |
| Policy | | | |
| Has your Company established a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards? | Yes - Please provide a copy | | |
| | No | | |
| ▶ If no formal policy document, please describe your firm's approach to AML/CFT matters: | | | |

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9. ORIGIN OF PHYSICAL PRECIOUS METALS

a. Profile of your precious metals' suppliers

% Individual:

% Company:

b. Country (ies) of origin of precious metals sourced

c. Country (ies) of destination of precious metals exported after refining

d. What are the types, forms and percentage of precious metals sourced by your Company (as applicable)

1. Recycled precious metals (%_____)

LBMA GD Bullion

Non LBMA Good Delivery Bullion (Au =>995 / AG =>9999)

Dore

Jewellery/Scrap

Others, please specify:

2. Primary material - mined precious metals (%_____)

Large scale mining (>100'000 Oz/year)

Medium scale mining (30-100'000 Oz/year)

Small scale mining (<30'000 Oz/year)

Others, please specify:

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9.1 ANTI-BRIBERY POLICY

| | |
|--|---|
| Does your Company have an anti-bribery policy in place? | Yes - Please provide a copy No |
| ► If no formal policy document, please describe your firm's approach to Anti-Bribery matters: | |

9.2 RESPONSIBLE SOURCING PRECIOUS METAL POLICY

| | |
|--|---|
| a. Did your Company establish a responsible supply chain of gold from conflict-affected and high-risk areas policy which is consistent with the relevant OECD Due Diligence Guidance? | Yes - Please provide a copy No |
| b. If no formal policy, please describe how your Company complies or plans to comply with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas ("OECD Guidance")? | |
| c. Is your Company complying in any of the following industry initiatives? LBMA Responsible Gold Guidance RJC Chain of Custody Standard WGC Conflict Free Gold Standard Conflict Free Smelter (CFS) Program | Additional comments: |
| Others, please specify: | |

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9.3 PRECIOUS METALS SUPPLIERS DUE DILIGENCE

What type of information does your Company request from its precious metals suppliers (tick those which apply)?

| Companies | Individuals |
|--|---|
| 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 | Origin of precious metals |
| Origin of precious metals | Supplier profile (activity, wealth, etc.) |
| Description of main activity and financial information | |

9.4 MONITORING

YES

NO

Does your Company screen precious metals suppliers and transactions against lists of banned persons, entities or countries issued by government/competent authorities?

Does your Company perform enhanced due diligence for high risk precious metals suppliers?

Does your Company take steps to understand their corporate precious metals suppliers' AML-CFT and purchase procedures and practices?

Does your Company take steps to understand the origin of precious metals, normal and expected transactions of its suppliers (in order to identify the unusual transactions)?

Does your Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to a relevant Authority?

Is your Company required to register all purchases and sales?

► If yes, with which body are they registered with?

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| Additional Documents Required to be Submitted | | |
|---|--|--|
| Document | Description | Form |
| License(s) | Where available. Eg. Precious Metals license etc... | Notarized and Apostiled with Certified Translation into English or Turkish |
| Tax ID Certificate | A document certifying the Tax residency and number of the company in question. | Notarized and Apostiled with Certified Translation into English or Turkish |
| Certificate of Incorporation and/ or Company Registry Extract issued by the Chamber of Commerce or Equivalent | Corporate establishment document | Notarized and Apostiled with Certified Translation into English or Turkish |
| Memorandum & Articles of Association | Latest Charter or other similar document with all the amendments included | Notarized and Apostiled with Certified Translation into English or Turkish |
| List of authorized signatures and with a copy of Power of Attorney and Signature Circular | Must contain signature samples and signage capacity and authority. | Notarized and Apostiled with Certified Translation into English or Turkish |
| Passport\ID's copies of Representative(s) and / or Beneficial Owners | Must be a valid ID document that includes photograph, number, issuing date, and country of issuance, date of birth and signature specimen. | Notarized and Apostiled with Certified Translation into English or Turkish |
| Resolution of the board of directors | Resolution of the board of directors or other documents authorizing the opening of an account and the execution of transactions between the company and AgaBullion | Notarized and Apostiled with Certified Translation into English or Turkish |
| Power of Attorney | PoA for any Attorney that will be signing any document with AgaBullion. | Notarized and Apostiled with Certified Translation into English or Turkish |
| Latest Audited Financial Statements | | Scan copy Signed and dated by an Authorized signatory |

What is an Apostille:

- a. An Apostille is a certificate issued by a designated authority in a country where the Hague Convention Abolishing the Requirement for Legalization of Foreign Public Documents, Apostille Convention, is in force. When properly filled in, it will certify the authenticity of the signature, the capacity in which the official signing the public document has acted and, where appropriate, the identity of the seal or stamp which this document bears.



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- b. Each country party to the Hague Convention designates an authority within its territory that can issue apostilles. Please bear in mind that there are some countries which have not signed the Hague Convention and thus no apostilles can be obtained from these countries. In such cases, we will discuss, on a case by case basis, what form of certification will be acceptable to replace apostille.

DECLARATION

- I/We hereby state and declares that all the information supplied in this document is true, correct and valid as of the time of signing.
- I/We hereby confirm that we do not conduct any business activity with any individual and entities that are currently subject to international sanctions such as UN, EU and USA.
- I/We hereby confirm that we do not source precious metals from any counterparty that provides direct or indirect support of any form to non-state armed groups.
- I/We hereby confirm that we do not source precious metals from suppliers who either directly or indirectly contribute to, or assist with or facilitate the following:
 - ▶ Human rights abuses and crimes such as widespread sexual abuses, etc
 - ▶ Forced labour and worst forms of child labour
 - ▶ War crimes, genocide and other serious violations of the International Humanitarian Law
 - ▶ Environmental abuses
- I/We hereby state and declares that they will automatically inform AgaBullion within one month in writing should of any changes to the above.
- I/We hereby accept that, AgaBullion will consider that all data supplied on this form is valid until declared otherwise in writing by Applying Party.
- I/We hereby accept that, AgaBullion; in its sole discretion, can suspend and/or cancel all account activity with immediate effect should it find out that the information shared in this form is not valid or correct.
- I/We hereby undertake to indemnify and keep fully indemnified AgaBullion against any costs (including all legal costs), expenses, loss or liability suffered as a result of or in connection with any inaccuracy of any information, representation and warranties given by itself.

| | Authorized signatory | Authorized signatory |
|---------------------------|----------------------|----------------------|
| Signature: | | |
| Print Name: | | |
| Title: | | |
| Date and location: | | |

signature