

# Client on Boarding - Form

## 1. Counterparty Classification

- |   |                                       |   |                                     |
|---|---------------------------------------|---|-------------------------------------|
| <input type="checkbox"/> Mining Company               | <input type="checkbox"/> Bank         | <input type="checkbox"/> Scrap Dealer   | <input type="checkbox"/> Mint       |
| <input type="checkbox"/> Refinery                     | <input type="checkbox"/> Central Bank | <input type="checkbox"/> Watch Industry | <input type="checkbox"/> Numismatic |
| <input type="checkbox"/> Buyer of Investment Products | <input type="checkbox"/> Other: _____ |   |                                     |

## 2. Masterdata

Company Registered Name \_\_\_\_\_

Registered Address \_\_\_\_\_

Country \_\_\_\_\_ FATF Area  yes  no

Date of Incorporation \_\_\_\_\_

TAX ID Number \_\_\_\_\_ VAT Nr. \_\_\_\_\_

Registration Number \_\_\_\_\_

Stock exchange listed \_\_\_\_\_ Ticker: \_\_\_\_\_

Number of subsidiaries \_\_\_\_\_

PEP (Politically Exposed Person)  yes  no

External Financial Auditors \_\_\_\_\_ Since: \_\_\_\_\_

Memberships \_\_\_\_\_

Website \_\_\_\_\_

Contact Person(s) \_\_\_\_\_

Telephone / Fax \_\_\_\_\_

E-mail \_\_\_\_\_

## 3. Business Information

Estimated Annual Volume \_\_\_\_\_

Purpose of Business \_\_\_\_\_

Business Description \_\_\_\_\_

Number of employees of counterparty \_\_\_\_\_

Number of employees within the entire group \_\_\_\_\_

Origin of goods delivered to Valcambi for refining/smelting (countries) \_\_\_\_\_

Origin of funds used to purchase products from Valcambi \_\_\_\_\_

Final destination of the products purchased from Valcambi (countries) \_\_\_\_\_

To which type of customer do you sell precious metals:

<input type="checkbox"/> Refiner	<input type="checkbox"/> Wholesaler	<input type="checkbox"/> Manufacturer/Industry/Jewellers
<input type="checkbox"/> Bank	<input type="checkbox"/> Individual	<input type="checkbox"/> Other, please specify _____

## Client on Boarding - Form

### 4. Financial Information

	Currency	Last reporting period	Previous year
Share Capital	_____	_____	_____
Shareholder's Equity	_____	_____	_____
Sales	_____	_____	_____
Net Income	_____	_____	_____
	Previous year	Current year	Next year
Annual Production/Turnover	_____	_____	_____

### 5. Management Structure

	Name / Surname	Title	Nationality	Date of Birth
Board of Directors	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____
Top Management	_____	_____	_____	_____
	_____	_____	_____	_____
	_____	_____	_____	_____

### 6. Standing Instructions

Bank	Incoming payments	Outgoing payments (if different)
Bank Name	_____	_____
Address / Country	_____	_____
Account Number	_____	_____
Account Holder	_____	_____
Account Beneficial Owner	_____	_____
IBAN	_____	_____
BIC / SWIFT	_____	_____
CLEARING / ABA	_____	_____

### 7. AML – Beneficial Owner Declaration

Is the counterparty a bank, listed company, subsidiary of a listed company, fund manager, insurance company or security dealer?

yes  no, please complete the following declaration

The counterparty herewith declares that the person(s) listed below is/are the beneficial owner(s) of the assets deposited under the above relationship. If the counterparty is also the sole beneficial owner of the assets, the contracting partner's details must be specified below:

## Client on Boarding - Form

Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		
Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		
Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		
Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		

### 8. Controlling person of operating legal entities & not stock exchange quoted partnerships

Is the counterparty a bank, subsidiary company of a stock exchange quoted entity, fund manager, insurance company or security dealer?

yes  no (please go to next question)

Is the counterparty an operating legal entity or partnership not quoted on the stock exchange?

yes (please tick the appropriate box below)  no

the person(s) listed below is/are holding 25% or more of the counterparty's shares (capital shares or voting rights)

if the capital shares or voting rights cannot be determined or in case there are no capital shares or voting rights of 25% or more, the counterparty hereby declares that the person(s) listed below is/are controlling the contracting partner in other ways

in case this/these person(s) cannot be determined or does/do not exist, the counterparty hereby declares that the person(s) listed below is/are the managing director(s).

Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		
Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		
Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		
Name / Surname	_____	Nationality	_____
Date of Birth	_____		
Address	_____		

## Client on Boarding - Form

### 9. KYC Questionnaire

Has the counterparty implemented systems for the identification of its customers and record keeping of customer data in line with FATF standards or with EU directives, including customer information in case of recorded transactions, account opening, etc. (eg. name, nationality, address, phone nr, occupation, date of birth, number & type of valid official ID, expiry date, as well as issuing country)?  yes  no

IF NOT, does the counterparty follow local KYC Rules?  yes  no

Has the Bank, specified at point 6 (SI), implemented systems for the identification of its customers and record keeping of customer data in line with FATF standards or with EU directives, including customer information in case of recorded transactions, account opening, etc.?  yes  no

IF NOT, please specify: \_\_\_\_\_

### 10. Know Your Customer and due diligence procedures

Has the counterparty implemented processes for the identification of those customers on whose behalf we maintain accounts or conduct transactions  yes  no  n/a

The counterparty is regularly audited by independent AML auditors  yes  no  n/a

### 11. Responsible procedures

Has the counterparty established policies and procedures designed to meet and implement the following rules and guidelines:

LBMA/LPPM Responsible Guidance  yes  no  n/a

OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict Affected and High Risk Areas and Supplement on Gold  yes  no  n/a

Dodd Frank Act Section 1502  yes  no  n/a

### 12. Counterparty Classification

Has the counterparty clearly established written policies and procedures applicable to all branches, subsidiaries and operations, related to local and international laws, covering:

Money laundering and financing of terrorism  yes  no  n/a

Bribery  yes  no  n/a

Responsible metal sourcing  yes  no  n/a

Mitigation of risks identified in the supply chain  yes  no  n/a

### 13. Legal Proceedings

Does the counterparty or any of the legal representatives and/or beneficial owners have a pending legal proceeding, an enforceable governmental request or are under investigation by national or international authorities?  yes  no

Does the counterparty or any of your legal representatives and/or beneficial owners have one or more legal proceedings, an enforceable governmental request or have been under investigation by national or international authorities in the last 10 years?  yes  no

If YES to any of the above, please provide details

## Client on Boarding - Form

### 14. Documents to be submitted

The information provided will be carefully reviewed and analyzed by our legal and compliance team who will provide feedback as quickly as possible and follow up with a list of documents in accordance to the chosen client classification.

- The undersigned counterparty hereby declares that all information provided is correct (ref. art. 291 Swiss C.L.)**

\_\_\_\_\_  
Place and Date

\_\_\_\_\_  
Name and Function

\_\_\_\_\_  
Legal Signature  
 single  joint

\_\_\_\_\_  
Company Stamp

\_\_\_\_\_  
Name and Function

\_\_\_\_\_  
Legal Signature  
 single  joint

\_\_\_\_\_  
Company Stamp

**True copy to be returned to: Valcambi SA, via Passeggiata 3, 6828 Balerna, Switzerland**

### 15. Restricted to Valcambi

Country Risk  1  2  3  4

Metal  Mined  Scrap  VAP  CMP

Credit Limit \_\_\_\_\_

Settlement Limit \_\_\_\_\_

\_\_\_\_\_  
Date

\_\_\_\_\_  
Sales officer Signature

### 16. Compliance Check Points

Compliant  Not compliant  Sensitive case

\_\_\_\_\_  
Date

\_\_\_\_\_  
LCO Signature