

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 Volume¹ _____

Business Purpose² RR PPM SFP SBPM CM

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:

Refiner Wholesaler Manufacturer/Industry/Jewellers

Bank Individual Other, please specify _____

¹ Estimated volume you intend to transact with Valcambi p.a.

² Refining/Remelting (RR), Purchasing Physical Metal (PPM), Semi-finished Products (SFP), Selling & Buying Physical Metal (SBPM), Coins & Medals (CM)

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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:

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

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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

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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.

It is a criminal offence to deliberately provide false information on this form (Article 251 of the Swiss Criminal Code, document forgery)

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