



Account Opening

COMPANY DETAILS

Name (as per Trade License)

Company Name

Legal Status

- | | |
|--|---|
| <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> Public Limited Company |
| <input type="checkbox"/> Partnership Company | <input type="checkbox"/> Private Limited Company |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Branch of a Foreign Company |
| <input type="checkbox"/> Free Zone Company | <input type="checkbox"/> Trust/Club/Society/Association |
| <input type="checkbox"/> Others (please specify) | |

Company Information

Country of Establishment	Date of Establishment
Licence No.	Issuing Authority
Licence Issue Date	Licence Expiry Date

Tax Information

Tax Registration Date	Tax Registration Number
-----------------------	-------------------------

Contact Details

Primary Contact Name
Designation
Telephone (Office)
Mobile
Email
Website

Address Details

Registered Business Address			
Address (Line 1)			
Address (Line 2)			
City	P.O. Box / Postal Code		
State / Province	Country		
Primary Business Address (if different from the Registered Business Address)			
Address (Line 1)			
Address (Line 2)			
City	P.O. Box / Postal Code		





Account Opening

State / Province		Country	
------------------	--	---------	--

Details of Individual Shareholders / Ownership (if applicable)

Name	Nationality	Passport/ID No.	Address	Ownership %

Details of Corporate Shareholders / Ownership (if applicable)

Company Name	Country	Licensing Authority	Trade License No.	Ownership %

Details of Beneficial Owners (at least 25 per cent shares and voting rights of a company)

Name	Nationality	ID/Passport No.	Address	Ownership %

Details of Key Managerial Person (List names of Directors/Key Senior Management)

Name	Nationality	ID/Passport No.	Address	Ownership %





Account Opening

Details of Authorised Signatories (List names all individuals who are authorized to sign and transact for and on behalf of the Company)

Name	Nationality	ID/Passport No.	Address	Job Title

Politically Exposed Person (PEP)

Is any of the shareholder / beneficial owner / key managerial person Politically Exposed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Person's Name		
Position		
Is any of the shareholder / beneficial owner / key managerial person related to a PEP?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Person's Name		
Person's Country		
Person's Position		

BUSINESS INFORMATION

Type of Business Activities	<input type="checkbox"/> Refinery	<input type="checkbox"/> Precious Metals Trader/Dealer
	<input type="checkbox"/> Wholesaler / Manufacturer (Jewellery)	<input type="checkbox"/> Retailer (Jewellery)
	<input type="checkbox"/> Bank	<input type="checkbox"/> Industrial
	<input type="checkbox"/> Scrap Dealer	<input type="checkbox"/> Coins Dealer
	<input type="checkbox"/> Miner - Large Scale Mining	<input type="checkbox"/> Miner – Small Scale Mining
	<input type="checkbox"/> Miner – Artisanal Miners (Representative)	<input type="checkbox"/> Exporter
	<input type="checkbox"/> Others (please specify)	





Account Opening

License Type	<input type="checkbox"/> Trading <input type="checkbox"/> Industrial <input type="checkbox"/> Others (please specify)	<input type="checkbox"/> Commercial <input type="checkbox"/> Professional
Total No. of Employees		
No. of Years of experience in the Precious Metals Industry		

Does any shareholder / Beneficial Owner / Key Managerial Person has any other business ?	<input type="checkbox"/> Casino <input type="checkbox"/> Currency Dealer or Exchanger <input type="checkbox"/> Movie Theatres <input type="checkbox"/> Apartment Houses <input type="checkbox"/> Gaming <input type="checkbox"/> Art and Antique Dealers <input type="checkbox"/> Liquor Stores <input type="checkbox"/> Luxury Good Dealers <input type="checkbox"/> Gambling Services <input type="checkbox"/> Car Washes <input type="checkbox"/> Taxicabs <input type="checkbox"/> Others (please specify)	<input type="checkbox"/> Restaurants <input type="checkbox"/> Used Car or Motorcycle Dealers <input type="checkbox"/> Travel Agencies <input type="checkbox"/> Hotels <input type="checkbox"/> Retail stores <input type="checkbox"/> General Trading <input type="checkbox"/> Lawyers & Accountants <input type="checkbox"/> Auction Houses <input type="checkbox"/> Constructions Companies <input type="checkbox"/> Beauty Shops <input type="checkbox"/> None
Mention the metals that you work with	<input type="checkbox"/> Gold <input type="checkbox"/> Others (please specify)	<input type="checkbox"/> Silver
Mention the form of gold that you work with	<input type="checkbox"/> Mined Gold – Alluvial gold <input type="checkbox"/> Mined Gold – Gold concentrate <input type="checkbox"/> Mined Gold – Mining Byproduct <input type="checkbox"/> Mined Gold – ASM Gold <input type="checkbox"/> Recyclable Gold – Industrial By-product <input type="checkbox"/> Grandfathered Stocks	<input type="checkbox"/> Mined Gold – Gold ore <input type="checkbox"/> Mined Gold – Gold doré <input type="checkbox"/> Mined Gold – LSM Gold <input type="checkbox"/> Recyclable Gold – Melted <input type="checkbox"/> Recyclable Gold – Unprocessed
From whom do you purchase the Precious Metals?	<input type="checkbox"/> UAE Suppliers	<input type="checkbox"/> International Suppliers
Who are your counterparties and suppliers?	<input type="checkbox"/> Small / Medium Scale Traders <input type="checkbox"/> Jewellers <input type="checkbox"/> Mines <input type="checkbox"/> Banks <input type="checkbox"/> Others (please specify)	<input type="checkbox"/> Wholesalers <input type="checkbox"/> Individuals <input type="checkbox"/> Refinery <input type="checkbox"/> Funds





Account Opening

Mention all Countries of origin of your precious metals	
Mention all Countries in which you sell your precious metals	
How do you intend to transport the metal from its country of origin to Dubai?	<input type="checkbox"/> Transporter / Secured logistic company <input type="checkbox"/> Hand carry <input type="checkbox"/> Others (please specify)
Do you have the license / authorisation to import/export precious metals?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, mention the Import-Export Licence No. / Customs Code:

Mention the source of operating funds	<input type="checkbox"/> Own Capital <input type="checkbox"/> Bank Loan (mention name) <input type="checkbox"/> Government Entity (mention name) <input type="checkbox"/> Third Party Loan (mention name) <input type="checkbox"/> Others (please specify)
---------------------------------------	--

PROPOSED BUSINESS RELATIONSHIP WITH SAM PRECIOUS METALS

Select the service/s that you will require from SAM Precious Metals:	<input type="checkbox"/> Buying and Selling <input type="checkbox"/> Refining Services <input type="checkbox"/> Smelting Services <input type="checkbox"/> Assaying Services <input type="checkbox"/> Diamond & Gold Separation Services <input type="checkbox"/> Minting Services
--	--

BANK INFORMATION

Account name / Beneficiary name			
Bank Name			
Bank Address			
	City		Country
IBAN Number			
Account No.			
Swift Code		Currency	



Account Opening

COMPLIANCE INFORMATION

Do you have an Appointed Compliance Officer?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Did your company establish a conformity program that contains AML/CFT policies and procedures according to UAE and international laws, rules, and regulations? If Yes, please provide a copy.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company comply with the OECD Due Diligence Guidance for Responsible Supply Chain of Minerals from Conflict-Affected and High-Risk Areas?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company have policies and procedures that covers human rights?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company have an anti-bribery and corruption policy? If Yes, please provide a copy.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company have a whistleblower policy in place? If Yes, please provide a copy.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company have a policy consistent with the standards set forth in the LBMA Gold Guidance? If Yes, please provide a copy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does your company have a policy consistent with the standards set forth in the DMCC Practical Guidance for Market Participants in the Gold and Precious Metals Industry? If Yes, please provide a copy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Did your company establish a policy consistent with the standards set forth in the Responsible Jewellery Council's Code of Practices and Chain of Custody? If Yes, please provide a copy	<input type="checkbox"/> Yes	<input type="checkbox"/> No

DECLARATION

- I hereby acknowledge and declare that all the information provided in this Know Your Customer (KYC) form is true and complete and I undertake to inform you of any changes.
- I/We hereby confirm that we have read and understood the following the guidance and policies listed below, and we undertake to review it thoroughly and to comply with its provisions.
 - OECD Due Diligence Guidance for Responsible Supply Chain of Minerals from Conflict-Affected and High-Risk Areas
 - LBMA Responsible Gold Guidance



+971 4874 8668 / P.O. BOX 485028, DUBAI, UAE. / SAMPRECIUSMETALS.COM / INFO@SAMPRECIUSMETALS.COM

سام بریشیس میتلز منطقه حره .ذ.م.م
SAM PRECIOUS METALS FZ-LLC



Account Opening

- DMCC Practical Guidance for Market Participants in the Gold and Precious Metals Industry
 - SAM PRECIOUS METALS FZ LLC'S Supply Chain Policy
 - SAM PRECIOUS METALS FZ LLC'S AML/CFT Compliance Policy
- I/We hereby warrant to SAM PRECIOUS METALS FZ LLC that the Metals/Stones/Funds to be delivered to SAM PRECIOUS METALS FZ LLC for treatment or trading have been procured through legal means and have been acquired from legitimate sources not involved in funding conflict or non-compliance with any United Nations sanctions, resolutions, or human rights violations.
 - I/We hereby undertake that our sources of precious metals and stones are free from conflict financing, criminal funding, worst forms of child labour and human rights abuses, and have been sourced through proper channels.
 - I/We confirm that we are observing and complying with domestic and international laws, rules, and regulations, including those governing the illicit trade in precious metals and the United Nation Security Council (UNSC) Sanctions.
 - I hereby give unconditional and irrevocable written consent to SAM PRECIOUS METALS FZ LLC, its subsidiaries, agents and authorized staff and any third-party service providers for disclosure, sharing, usage, processing and searching of my information and records as required by UAE Anti Money Laundering and Combatting of Terrorism Laws.
 - I agree that any duplication and any copy, photocopy, electronic data, or facsimile which have been made as a copy from this original consent by means of photocopying, image scanning, or recording in whatever forms shall be deemed as evidence of consent with the same effect as its original.
 - I shall indemnify and hold SAM PRECIOUS METALS FZ LLC safe from any claims howsoever arising from as a result of such sharing, searching, usage, processing or disclosure of account information and data.

Signature		Company Stamp	
Name of the Authorised Signatory			
Title / Designation of the Authorised Signatory			
Date	D	D	M
	M	M	Y
	Y	Y	Y
	Y	Y	Y
	Place		



Account Opening

DOCUMENTS REQUIRED AND CHECKLIST

	Document / Information	Completed
1	Proof of legal existence of the Company:	
	• Trade License	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Certificate of Incorporation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Share Certificates / Shareholders Register	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Memorandum of Association (MOA)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Articles of Association (AOA)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Full Details of Beneficial Owners if not mentioned in MOA / AOA	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• List of Directors (if not mentioned in MOA / AOA)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Tax Registration Certificate	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

	Document / Information	Completed
2	Proof of the company's Registered Address and Office/Principal Address (primary address where the business activity is performed) in the country of origin and/or physical address within the UAE:	
	• Utility bill (e.g. electricity, water, phone)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Tenancy contract / purchase agreement	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Local authority tax bill	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
3	Compliance Policies (if available) :	
	• AML/CFT policies and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A



Account Opening

	<ul style="list-style-type: none"> Responsible Supply Chain Policy 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	<ul style="list-style-type: none"> Anti-bribery Policy 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	<ul style="list-style-type: none"> Whistleblower Policy 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
4	Board Resolution	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
5	List of Authorised Traders (with their specimen signature)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
6	For all Shareholders / Ultimate Beneficiary Owner / Key Managerial People / Authorised Signatories / Powers of Attorney Holders / Third party mandate holders, provide the following documents :	
	<ul style="list-style-type: none"> Passport 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	<ul style="list-style-type: none"> National ID 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	<ul style="list-style-type: none"> Visa for the Country of Residence (if applicable) 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	<ul style="list-style-type: none"> Address Proof 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

	Document / Information	Completed
7	Financial Information:	
	<ul style="list-style-type: none"> Latest Audited Financial Statement 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
8		
	<ul style="list-style-type: none"> LBMA Good Delivery Certificate - Gold 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A



Account Opening

	• LBMA Good Delivery Certificate - Silver	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• RJC Certificate - COC	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• RJC Certificate - COP	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Dubai Good Delivery Certificate - Gold	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• Dubai Good Delivery Certificate - Silver	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• LBMA Independent Assurance Report	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• DMCC Independent Reasonable Assurance Report	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
	• BIST Independent Assurance Report	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

FOR SAM PRECIOUS METALS FZ LLC USE ONLY:

Client Reference No.										
Form Reviewed By						Signature				
Date	D	D	M	M	Y	Y	Y	Y	Place	
Form Approved By						Signature				
Date	D	D	M	M	Y	Y	Y	Y	Place	

Account Opening Date	D	D	M	M	Y	Y	Y	Y	Account Code	
----------------------	---	---	---	---	---	---	---	---	--------------	--

