



— GOLD AND JEWELS TRADING LLC —

ACCOUNT OPENING APPLICATION

**** Important Notice:**

- The requested information in this form are minimum requirements needed as per applicable regulations. We may request for additional information or supporting documentation if necessary, to open the account. Please fill all applicable fields to your business activity/proposed business as missing information may cause delays in processing the account application.
- Please be informed that documents and information including the company, shareholders, beneficial owners, suppliers and person/s who will operate the account are processed and checked against the World-Check Solutions database and other third-party due diligence software and service providers as part of our identity verification.
- For further assistance and clarification, please contact us by email at info@parpiagold.com

SECTION 1: COMPANY DETAILS

NAME	
REGISTERED ADDRESS	
BUSINESS ADDRESS	
PHONE NUMBER	
COMPANY EMAIL ADDRESS	
MOBILE NUMBER	
BUSINESS REGISTRATION NUMBER	
TAX IDENTIFICATION/REGISTRATION NUMBER	
WEBSITE	
EXTERNAL FINANCIAL AUDITORS	

SECTION 2: BUSINESS ACTIVITY

TYPE OF BUSINESS	
DESCRIPTION OF CORE BUSINESS ACTIVITY	
MAIN MARKET (GEOGRAPHICAL SCOPE)	
MAIN PRODUCTS	

SECTION 3: BENEFICIAL OWNERS**SHAREHOLDER(S) (MORE THAN 25%)**

PERCENTAGE HOLDING (%)	NAME	ADDRESS	COUNTRY OF INCORPORATION / NATIONALITIES	DATE OF INCORPORATION / DATE OF BIRTH

ULTIMATE BENEFICIAL OWNER (MORE THAN 25% - INDIVIDUAL ONLY)**SHAREHOLDER(S) (MORE THAN 25%)**

PERCENTAGE HOLDING (%)	NAME	ADDRESS	NATIONALITIES	DATE OF BIRTH

SECTION 4: MANAGEMENT STRUCTURE

	NAMES	TITLE	NATIONALITIES	DATE OF BIRTH
BOARD OF DIRECTORS				
MANAGEMENT				

SECTION 5: FINANCIAL INFORMATION

	CURRENCY	LAST REPORTING PERIOD	PREVIOUS YEAR
SHARE CAPITAL			
TOTAL SHAREHOLDER'S EQUITY			
TOTAL BALANCE SHEET			
SALES			
NET INCOME			

Banking Details (Please provide the banking details of the Company. We do not accept or make payments to third parties)

BANK NAME:	
STREET / NO:	TOWN / CITY:
COUNTRY:	POSTCODE / ZIP CODES
ACCOUNT NAME:	
ACCOUNT NUMBER:	SORT CODE:
IBAN:	
ABA:	BIC / SWIFT:
CURRENCY OF ACCOUNT:	
YEARS OF RELATIONSHIP WITH THE BANK:	
ORIGIN OF THE FUNDS OF THE COMPANY:	

SECTION 6: HUMAN RESOURCES

NUMBER OF EMPLOYEES WITHIN THE COMPANY	
NUMBER OF EMPLOYEES WITHIN THE GROUP	

SECTION 7: ORIGIN OF PHYSICAL PRECIOUS METALS

PROFILE OF YOUR PRECIOUS METAL SUPPLIERS (INDIVIDUAL / COMPANY)	
COUNTRIES OF ORIGIN OF PRECIOUS METALS DELIVERED TO US?	
COUNTRIES OF DESTINATION OF PRECIOUS METALS ONCE REFINED?	
IS THE COMPANY LEGALLY REQUIRED TO HAVE A LICENSE TO IMPORT PRECIOUS METALS? IF YES, PLEASE PROVIDE A COPY OF THE LICENSE.	
IS THE COMPANY LEGALLY REQUIRED TO HAVE A LICENSE TO EXPORT PRECIOUS METALS? IF YES, PLEASE PROVIDE A COPY OF THE LICENSE.	

SECTION 8: FACILITIES

	YES	NO	N/A
DOES THE COMPANY HAVE ANY SMELTING OR REFINING FACILITIES?			
DOES THE COMPANY HAVE ANY MANUFACTURING FACILITIES?			
DOES THE COMPANY PRODUCE ITS OWN JEWELLERY?			
WHAT IS THE FORM OF PRECIOUS METALS PLANNED TO BE SOLD OR REFINED?			
RECYCLED PRECIOUS METALS (%)			
LBMA GD BULLION		UAE GOOD DELIVERY BAR	NON-GOOD DELIVERY BAR
RUDIMENTARY BARS		JEWELLERY	BROKEN JEWELLERY
COINS		OWN PRODUCTION WASTE	COLLECTED WASTE
OTHERS, PLEASE SPECIFY:			
GOLD FROM LARGE SCALE MINE – (MORE THAN 100,000 OZ/YEAR)			
GOLD FROM MEDIUM SCALE MINE – (30,000 – 100,000 OZ/YEAR)			
GOLD FROM SMALL SCALE MINE – (LESS THAN 30,000 OZ/YEAR)			
OTHERS, PLEASE SPECIFY:			
(PLEASE NOTE THAT A SEPARATE QUESTIONNAIRE IS NEEDED TO BE FILLED FOR MINED PRECIOUS METALS.)			

SECTION 9: RESPONSIBLE PRECIOUS METAL SUPPLY CHAIN POLICY

DID YOUR COMPANY ESTABLISH A RESPONSIBLE SUPPLY CHAIN OF GOLD FROM CONFLICT-AFFECTED AND HIGH RISK AREAS POLICY WHICH IS CONSISTENT WITH THE STANDARDS SET FORTH IN THE MODEL SUPPLY CHAIN POLICY IN ANNEX II OF THE OECD DUE DILIGENCE GUIDANCE FOR RESPONSIBLE SUPPLY CHAINS OF MINERALS FROM CONFLICT-AFFECTED AND HIGH-RISK AREAS?

DOES YOUR COMPANY COMPLY OR PLAN TO COMPLY WITH THE OECD DUE DILIGENCE GUIDANCE FOR RESPONSIBLE SUPPLY CHAINS OF MINERALS FROM CONFLICT-AFFECTED AND HIGH-RISK AREAS?

IS THE COMPANY COMPLYING WITH ANY OF THE FOLLOWING INDUSTRIES INITIATIVES?
☐ LBMA RESPONSIBLE GOLD OR SILVER GUIDANCE
☐ DMCC RISK-BASED DUE DILIGENCE GUIDANCE FOR GPM
☐ RJC CHAIN OF CUSTODY STANDARD
☐ WGC CONFLICT FREE GOLD STANDARD ☐ RMI RESPONSIBLE GOLD STANDARD
☐ OTHERS, PLEASE SPECIFY:

ADDITIONAL COMMENTS:

SECTION 10: ANTI MONEY LAUNDERING (AML) – COMBATING THE FINANCING OF TERRORISM (CFT)

IS YOUR COMPANY SUBJECT TO ANTI-MONEY LAUNDERING/COMBATING THE FINANCING OF TERRORISM LAW?

IS YOUR COMPANY SUBJECT TO ANTI-MONEY LAUNDERING/COMBATING THE FINANCING OF TERRORISM LAW?

HAS YOUR INSTITUTION ESTABLISHED A CONFORMITY PROGRAM THAT CONTAINS AML/CFT POLICIES AND PROCEDURES, ACCORDING TO INTERNAL & INTERNATIONAL LAWS, RULES AND STANDARDS?

SECTION 11: BRIBERY POLICY

DOES YOUR COMPANY HAVE ANY BRIBERY POLICY IN PLACE?

HAS THE COMPANY OR THE SENIOR MANAGEMENT EVER BEEN CHARGED ANYWHERE IN THE WORLD FOR VIOLATION OF APPLICABLE ANTI-BRIBERY LAWS OR REGULATION?

SECTION 12: DATA PRIVACY PROTECTION

DOES YOUR COMPANY HAVE DATA PROTECTION POLICY?	
DOES YOUR COMPANY HAVE DATA PROTECTION COMMISSIONER?	
DOES YOUR COMPANY HAVE A CERTIFIED DATA STORAGE SYSTEM OR AND INFORMATION SYSTEM?	

SECTION 13: PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE

ORGANIZATION	YES	NO	N/A		
DOES THE 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					
IS THE COMPANY SUBJECT TO AND AML-CFT AUDIT BY AN INDEPENDENT PARTY OR A GOVERNMENTAL PARTY? DATE OF YOUR LAST AML-CFT COMPLIANCE AUDIT:					
DOES THE COMPANY HAVE AN AML-CFT TRAINING FOR EMPLOYEES?					
DOES THE COMPANY DELEGATE TO THIRD PARTIES SOME OF THE COMPLIANCE FUNCTIONS TO BE CARRIED OUT? IF YES, WHAT FUNCTIONS AND TO WHICH COMPANY DO YOU DELEGATE?					
HOW LONG DOES THE COMPANY KEEP ITS DUE DILIGENCE FILES (RECORDS)?					
	%	%			
WHAT IS THE TYPICAL PROFILE OF YOUR PRECIOUS METALS SUPPLIERS?					
CORPORATE:					
INDIVIDUAL PERSONS:					
WHAT TYPE OF INFORMATION DOES THE COMPANY REQUEST FROM ITS PRECIOUS METALS SUPPLIERS?					
COMPANIES	YES	NO	INDIVIDUALS	YES	NO
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			BENEFICIAL OWNERS		
ORIGIN OF PRECIOUS METALS			ORIGIN OF PRECIOUS METALS		
DESCRIPTION OF MAIN ACTIVITY AND FINANCIAL INFORMATION			SUPPLIER PROFILE (ACTIVITY, WEALTH, ETC.		

DOES THE COMPANY HAVE A RISK-BASED ASSESSMENT OF ITS PRECIOUS METALS SUPPLIERS? (E.G. LOW, MEDIUM, HIGH)				
DOES THE COMPANY SCREEN PRECIOUS METALS SUPPLIERS AND TRANSACTIONS AGAINST LISTS OF PERSONS, ENTITIES OR COUNTRIES ISSUED BY GOVERNMENT/COMPETENT AUTHORITIES?				
DOES THE COMPANY PERFORM ENHANCED DUE DILIGENCE FOR HIGH RISK PRECIOUS METALS SUPPLIERS				
DOES THE COMPANY ASSESS ITS CORPORATE PRECIOUS METALS SUPPLIERS' AML- CFT AND PURCHASE PROCEDURES AND PRACTICES?				
TRANSACTION MONITORING		YES	NO	N/A
DOES THE COMPANY PERFORM A RISK-BASED ASSESSMENT TO UNDERSTAND THE NORMAL AND EXPECTED TRANSACTIONS OF ITS SUPPLIERS (IN ORDER TO IDENTIFY UNUSUAL TRANSACTIONS)?				
DOES THE COMPANY HAVE A MONITORING PROGRAM FOR UNUSUAL AND POTENTIALLY SUSPICIOUS ACTIVITY THAT COVERS FUNDS TRANSFERS AND MONETARY INSTRUMENTS (E.G. TRAVELER'S CHEQUES) OR THIRD PARTY PAYMENTS?				
DOES THE COMPANY HAVE TO REGISTER ALL PURCHASES AND SALES? IF YES, TO WHICH BODY THEY ARE REGISTERED?				
FROM WHICH OF THE FOLLOWING SUPPLIERS DOES THE COMPANY PURCHASES ITS PRECIOUS METALS AND WHAT IS THE AVERAGE AMOUNT OF PURCHASE BY DEAL?				
SUPPLIER TYPE	PURCHASE PERCENTAGE (%)	AVERAGE AMOUNT IN USD PER DEAL		
BANK				
CORPORATE				
INDIVIDUAL				
WHAT USUAL PAYMENT METHOD DOES THE COMPANY USE TO PAY ITS PRECIOUS METALS SUPPLIERS?				
PAYMENT TYPE	PERCENTAGE (%)			
BANK TRANSFERS				
CHECKS				
CASH				
DOES THE COMPANY HAVE A PROCEDURE IN PLACE TO PREVENT, DETECT AND REPORT SUSPICIOUS TRANSACTIONS FROM ITS SUPPLIERS TO THE RELEVANT AUTHORITY?				
HOW MANY SUSPECT REPORTS HAS THE COMPANY FILLED AND HANDED OVER TO THE RELEVANT AUTHORITY THE LAST TWO YEARS?				
DOES THE COMPANY HAVE A MAXIMUM AMOUNT AS PER INTERNAL POLICY OR REGULATORY FRAMEWORK?				
▪ AMOUNT ALLOWED FOR CASH PAYMENT? IF YES, HOW MUCH? ▪ AMOUNT PER DEAL PER SUPPLIER IN USD? IF YES, HOW MUCH?				
WHERE CASH TRANSACTION REPORTING IS MANDATORY, DOES THE COMPANY HAVE PROCEDURES TO IDENTIFY TRANSACTIONS STRUCTURED TO AVOID SUCH OBLIGATIONS?				

SECTION 14: TRANSACTION MONITORING ON PURCHASE FROM INDIVIDUALS ONLY - TO BE FILLED ONLY BY COMPANY PURCHASING PRECIOUS METALS FROM INDIVIDUALS

	YES	NO	N/A
DOES THE COMPANY PERFORM STATISTICS ON PRECIOUS METALS SOLD BY A PERSON IN ORDER TO IDENTIFY UNUSUAL TRANSACTIONS?			
DOES THE COMPANY HAVE A SPECIFIC PROCEDURE IF A DEAL WITH AN INDIVIDUAL IS SIGNIFICANTLY HIGHER THAN THE AVERAGE DEAL? IF YES, PLEASE DESCRIBE: _____			
IS THE COMPANY ABLE TO VERIFY THAT A PERSON DOES NOT COME SEVERAL TIMES IN THE COUNTER/IN DIFFERENT COUNTERS TO SELL EACH TIME A SMALL AMOUNT BUT FOR A GLOBAL MATERIAL AMOUNT (SMURFING)? _____			

SECTION 15: INDUSTRIAL SOURCING – TO BE FILLED ONLY BY INDUSTRIAL COMPANIES

WHAT TYPE OF PRECIOUS METALS DO YOU PURCHASE FOR INDUSTRIAL PURPOSES?			
	LBMA / UAE GOOD DELIVERY BARS		NON LBMA/DGD BARS
	GRAINS		SEMI – FINISHED PRODUCTS
	OTHERS, PLEASE SPECIFY		INDUSTRIAL PRODUCTS, PLEASE DESCRIBE
IN WHICH COUNTRY DO YOU PURCHASE YOUR PRECIOUS METALS PRODUCTS?			
FROM WHO DO YOU SOURCE YOUR PRECIOUS METAL PRODUCTS?			
	REFINERS		PRECIOUS METALS DEALERS
	BANKS		INDUSTRIAL
	OTHERS, PLEASE SPECIFY:		
HAVE YOU IDENTIFIED THE REFINERY WHICH PRODUCED THE PRECIOUS METALS USED IN YOUR SUPPLY CHAIN?			
HAVE YOU ASSESSED THE REFINER'S DUE DILIGENCE POLICIES AND PRACTICES?			

Please provide details of the proposed/intended transaction/business to be done including the volume, frequency and payment terms with Parpia Gold and Jewels Trading LLC:

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

Comments / Additional information (please indicate which questions the information is referring to):

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Declarations Source of Funds:

I/We understand that I/we am/are required to declare the source of funds that I/we will be using for the purpose as stated in this application as a part of Parpia Gold and Jewels Trading LLC requirement to open an account. I/We understand the requirements of the Resolution and the Federal Law No. 4 of 2002 as amended by Federal Law No. 9 of 2014 (On Anti Money Laundering and Combating the Financing of Terrorism) and do hereby undertake that the source of funds/metals are acquired from legitimate sources and evidences of such is available if needed or as requested. I/We do hereby undertake that the funds/metals do not originate from any sanctioned country/entity/person/s from the United Nations and other relevant sanction programs.

Responsible Sourcing of Precious Metals:

I/We hereby acknowledge that we received from Parpia Gold and Jewels Trading LLC its Supply Chain Policy and the guidance listed below and we undertake to review it thoroughly and to comply with its provisions.

1. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas – Supplement in Gold
2. DMCC Rules for Risk Based Due Diligence in the Gold and Precious Metal Supply Chain
3. LBMA Responsible Gold Guidance
4. RMI Gold Refiner Standard

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. Also, we hereby undertake that our sources of precious metals are free from conflict financing, criminal funding, worst forms of child labour and human rights abuses.

I/We understand that by working with Parpia Gold and Jewels Trading LLC, we may be requested to provide supply chain information and documentation for due diligence purposes and failure to cooperate may cause Parpia Gold and Jewels Trading LLC to refuse a shipment or supplier as required by the above-mentioned guidance.

SIGNATURE

I/We hereby declare that the information given above is true and accurate as of date of writing.

I/We undertake to automatically inform Parpia Gold and Jewels Trading LLC of any material changes.

AUTHORIZED SIGNATORY**AUTHORIZED SIGNATORY****SIGNATURE:**

PRINT NAME:

TITLE:

COMPANY NAME:

DATE AND LOCATION:

Dear Sir/Madam

Thank you for your interest to open an account with us. Please find below the list of requirements for verification process;

1. Trade License
2. Memorandum & Articles of Association (MOA)
3. All Beneficial Owner/ Shareholders and Authorized Signatories Passport visa or Emirates ID copies
4. Tenancy Contract /Lease agreement contract/ Latest utility bill as a proof of office address
5. Tax Registration Number
6. Duly signed Application Forms should be signed by the Manager or Authorized signatory and with company stamp (see attached)

We are looking forward to building a business relationship with you and your company.

Regards

Parpia Gold and Jewels Trading LLC