



Account Opening KYC Questionnaire – Precious Metals

1. COMPANY DETAILS	
a. Name	
b. Registered Address	
c. Business Address	
d. Phone Number	
e. Date of Incorporation	
f. Country of Incorporation	
g. Business Registration Number	
h. Tax Identification/Registration number	
i. Website & Email address	
j. Does entity is part of any group, if yes, please provide details	
k. How many direct and indirect subsidiaries does the company have? <i>Please provide a Group chart</i>	

2. BUSINESS ACTIVITY																									
a. Type of Business	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">Bank</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> <td style="width: 30%;">Jeweller</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Precious Metals Trader/Dealer</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Scrap dealer</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Other Financial Intermediary</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Coins dealer / Mint</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Industrial</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Refinery</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Wholesaler</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Others, please specify:</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td colspan="4" style="text-align: right; padding-top: 5px;">_____</td> </tr> </table>	Bank	<input type="checkbox"/>	Jeweller	<input type="checkbox"/>	Precious Metals Trader/Dealer	<input type="checkbox"/>	Scrap dealer	<input type="checkbox"/>	Other Financial Intermediary	<input type="checkbox"/>	Coins dealer / Mint	<input type="checkbox"/>	Industrial	<input type="checkbox"/>	Refinery	<input type="checkbox"/>	Wholesaler	<input type="checkbox"/>	Others, please specify:	<input type="checkbox"/>	_____			
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Industrial	<input type="checkbox"/>	Refinery	<input type="checkbox"/>																						
Wholesaler	<input type="checkbox"/>	Others, please specify:	<input type="checkbox"/>																						

b. Description of core business activity																									
c. Does the company hold a license to conduct its business(es)? <i>Please provide a copy(ies)</i>																									



d. Main Market	
e. Main Products	
f. How long have you been trading with Physical Precious Metals	
g. What is your average monthly Purchase volume	
h. What is your average monthly Sale Volume	

3. BENEFICIAL OWNERS				
SHAREHOLDER(S) (MORE THAN 25%)				
Percentage Holding (%)	Name	Address	Country of Incorporation/ Nationality(ies)	Date of Incorporation/ Date of Birth
ULTIMATE BENEFICIAL OWNER (MORE THAN 25% - INDIVIDUAL ONLY)				
Percentage Holding (%)	Name	Address	Nationality(ies)	Date of birth

In case any of the above mentioned person is Politically Exposed Person (PEP), then please provide additional information on the Company letterhead.



4. MANAGEMENT STRUCTURE				
	Names	Title	Nationality(ies)	Date of Birth
a. Board of Directors				
b. Management				

In case any of the above mentioned person is Politically Exposed Person (PEP), then please provide additional information on the Company letterhead.

5. FINANCIAL INFORMATION			
	Currency	Last Reporting Period	Previous Year
a. Share Capital			
b. Total Shareholder's Equity			
c. Total Balance Sheet			
d. Sales			
e. Net Income			

Please provide copy of latest annual report

6. BANK DETAILS (to be shred on company letterhead with complete details)			
Account Name			
Bank Name		IBAN #:	
Bank Address		Swift Code:	
Intermediary Bank			



7. HUMAN RESOURCES	
a. Number of Employees within the Company	
b. Number of Employees within the Group	

8. ORIGIN OF PHYSICAL PRECIOUS METALS	
a. Profile of your precious metals suppliers (Individual / Company)	
b. Country(ies) of origin of precious metals delivered to us?	
c. Countries of destination of precious metals delivered?	
d. Is the Company legally required to have a licence to import precious metals?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No <input type="checkbox"/> N/A
e. Is the Company legally required to have a licence to export precious metals?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No <input type="checkbox"/> N/A



9. FACILITIES	YES	NO	N/A
a. Does the Company have any smelting or refining facilities?			
b. Does the Company have any manufacturing facilities?			
c. Does the Company produce its own jewellery?			
d. What are the types, forms and percentage of precious metals sourced by the Company			
<input type="checkbox"/> Recycled precious metals (%_____)			
<input type="checkbox"/> LBMA GD Bullion <input type="checkbox"/> Non LBMA Good Delivery Bullion (Au =>995 / AG =>9999)			
<input type="checkbox"/> Rudimentary Bars <input type="checkbox"/> Jewellery <input type="checkbox"/> Broken jewellery			
<input type="checkbox"/> Coins <input type="checkbox"/> Collected waste <input type="checkbox"/> Others, please specify _____			
<input type="checkbox"/> Primary material – mined precious metals (%_____)			
e. What type of precious metals is the Company planning to trade?			
<input type="checkbox"/> Gold <input type="checkbox"/> Others, please specify: _____			
<input type="checkbox"/> Silver			
<input type="checkbox"/> Platinum			



The following sections are for parties from whom Canary Hills Bullion LLC will purchase Metal – i.e. Suppliers. Other customers may proceed directly to sign the DECLARATION on page 12.

10. RESPONSIBLE PRECIOUS METAL SUPPLY CHAIN POLICY	
<p>a. Did your institution 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? http://www.oecd.org/daf/inv/mne/GuidanceEdition2.pdf</p>	<p><input type="checkbox"/> Yes – Please provide a copy</p> <p><input type="checkbox"/> No</p>
<p>b. Does your institution comply or plan to comply with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?</p>	<p><input type="checkbox"/> Currently complies</p> <p><input type="checkbox"/> Plans to comply</p> <p><input type="checkbox"/> No</p>
<p>c. Is the company complying with any of the following industry initiatives:</p> <p><input type="checkbox"/> LBMA Responsible Gold Guidance</p> <p><input type="checkbox"/> RJC Chain of Custody Standard</p> <p><input type="checkbox"/> WGC Conflict Free Gold Standard</p> <p><input type="checkbox"/> Conflict Free Smelter (CFS) Program</p> <p><input type="checkbox"/> DMCC DGD Program</p> <p><input type="checkbox"/> Others, please specify: _____</p>	<p>Additional comments:</p>
<p>d. What are the procedures in place to ensure that the precious metals purchased have not financed conflict?</p>	



11. ANTI MONEY LANDERING (AML) – COMBATING FINANCIAL TERRORISM (CFT)	
a. Is your institution subject to Anti-Money Laundering/Combating financial terrorism Law/Regulation	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Name of the AML-CFT Law/Regulation	
c. Name of the Regulator	
d. Has your institution established a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No

12. BRIBERY POLICY & HUMAN RIGHTS POLICY	
a. Does your Company have any bribery & Human rights policy in place?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No
b. Has the company or the Senior Management ever been charged anywhere in the world for violation of applicable anti-bribery laws or regulations?	<input type="checkbox"/> Yes – Please provide details <input type="checkbox"/> No
c. Is there any variations so far reported as per Human rights policy?	<input type="checkbox"/> Yes – Please provide details <input type="checkbox"/> No

13. Data Privacy Protection	
a. Does your company have Data Protection Policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Does your company have Data Protection Commissioner?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. Does your company have a certified data storage system or an information system?	<input type="checkbox"/> Yes <input type="checkbox"/> No



14. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE			YES	NO	N/A
Organisation					
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					
b. Is the Company subject to an AML-CFT audit by an independent party or a governmental party? Date of your last AML-CFT compliance audit:					
c. Does the Company have an AML-CFT training for the employees?					
d. 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?					
e. How long does the Company keep its due diligence files (records)?					
Precious Metals Suppliers Due Diligence			YES	NO	N/A
f. What is the typical profile of your precious metals suppliers?					
<input type="checkbox"/> Corporate (%____)					
<input type="checkbox"/> Individual persons (%____)					
g. What type of information does the Company request from its precious metals suppliers?					
Companies	YES	NO	Individuals	YES	NO
Company name	<input type="checkbox"/>	<input type="checkbox"/>	Name and first name	<input type="checkbox"/>	<input type="checkbox"/>
Address	<input type="checkbox"/>	<input type="checkbox"/>	Address	<input type="checkbox"/>	<input type="checkbox"/>
Date of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>	Date of birth	<input type="checkbox"/>	<input type="checkbox"/>
Country of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>	Nationality	<input type="checkbox"/>	<input type="checkbox"/>
Business register extract or equivalent document	<input type="checkbox"/>	<input type="checkbox"/>	Copy of ID card or passport	<input type="checkbox"/>	<input type="checkbox"/>
Beneficial Owners	<input type="checkbox"/>	<input type="checkbox"/>	Beneficial Owners	<input type="checkbox"/>	<input type="checkbox"/>
Origin of Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>	Origin of Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>
Description of main activity and financial information	<input type="checkbox"/>	<input type="checkbox"/>	Supplier profile (activity, wealth, etc.)	<input type="checkbox"/>	<input type="checkbox"/>



h. Does the Company have a risk-based assessment of its precious metals suppliers (e.g. low, medium or high risks)?															
i. Does the Company screen precious metals suppliers and transactions against lists of persons, entities or countries issued by government/competent authorities?															
j. Does the Company perform enhanced due diligence for high risk precious metals suppliers?															
k. Does the Company assess its corporate precious metals suppliers' AML-CFT and purchase procedures and practices?															
<i>Transactions monitoring</i>	YES	NO	N/A												
l. Does the Company perform a risk-based assessment to understand the normal and expected transactions of its suppliers (in order to identify the unusual transactions)?															
m. Does the Company have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments (e.g. traveller's cheques) or third party payments?															
n. Does the Company have to register all purchases and sales?															
o. To which of the following suppliers does the Company purchase its precious metals and what is the average amount of purchase by deal?															
<table border="1"> <thead> <tr> <th>Supplier type</th> <th>Purchase percentage (%)</th> <th>Average amount in USD per deal</th> </tr> </thead> <tbody> <tr> <td>Bank</td> <td></td> <td></td> </tr> <tr> <td>Corporate</td> <td></td> <td></td> </tr> <tr> <td>Individual</td> <td></td> <td></td> </tr> </tbody> </table>				Supplier type	Purchase percentage (%)	Average amount in USD per deal	Bank			Corporate			Individual		
Supplier type	Purchase percentage (%)	Average amount in USD per deal													
Bank															
Corporate															
Individual															
p. What usual payment method does the Company use to pay its precious metals suppliers?															
<table border="1"> <thead> <tr> <th>Payment type</th> <th>Percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank transfers</td> <td></td> </tr> <tr> <td>Cheques</td> <td></td> </tr> <tr> <td>Cash</td> <td></td> </tr> </tbody> </table>				Payment type	Percentage (%)	Bank transfers		Cheques		Cash					
Payment type	Percentage (%)														
Bank transfers															
Cheques															
Cash															
q. Does the Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to the relevant Authority?															
r. How many suspect reports has the Company filled and handed over to the relevant Authority the last two years?															



s. Does the Company have a maximum amount as per internal policy or regulatory framework: <ul style="list-style-type: none"> • amount allowed for cash payment? If yes, how much? • amount of deal per supplier in USD? If yes, how much? 			
t. Where cash transaction reporting is mandatory, does the Company have procedures to identify transactions structured to avoid such obligations?			

15. TRANSACTION MONITORING ON PURCHASE FROM INDIVIDUALS ONLY - TO BE FILLED ONLY BY COMPANY PURCHASING PRECIOUS METALS FROM INDIVIDUALS	YES	NO	N/A
a. Does the Company perform statistics on precious metals sold by person in order to identify unusual transactions?			
b. Does the Company have a specific procedure if a deal with an individual is significantly higher than the average deal? If yes, please describe: _____ _____			
c. 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)? If yes, how? _____ _____			



16. TRANSPORTATION DUE DILIGENCE QUESTIONNAIRE		YES	NO	N/A
a. Do you use your own transportation or 3rd Party organisation ? Name 3rd party/s organisation's used; -----				
b. Are the container/s or lorry/ies sealed or open upon arrival .				
c. Where does the transportation begin? Name original point of journey, Town and Country; -----				
17. ENVIRONMENTAL, SOCIAL AND GOVERNANCE				
a. Does your company have an Environmental, Social and Governance policy?		Yes – Please provide a copy No -		
b. Does your company have a sustainability policy?		Yes – Please provide a copy No -		
c. Does your company have an environmental certification /permit issued by government authority?		Yes – Please provide a copy No -		
d. Does your company have an ISO certification issued by governmental authority?		Yes – Please provide a copy		



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	No -
e. Is there use of Cyanide or Mercury in processing of silver or silver bearing material prior supplying.	Yes – Please provide information on the treatment and any relevant permit or certification for its use.
f. Does your company request environmental , social and governance documents or certification from your own suppliers?	Yes – No -



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DECLARATION

The undersigned hereby warrants to Canary Hills Bullion LLC that the Metals/Funds to be delivered to Canary Hills Bullion LLC for treatment or trading have been procured through legal means and have been acquired from legitimate sources not involved in funding conflict or in compliance with any United Nations sanctions, resolutions, or Human rights violations. To the best of my knowledge, I undersigned hereby guarantee that these Metals are conflict-free, free from child labour, and have been sourced through proper channels. The undersigned further undertakes that in case of any inquiry / investigation by any Competent Authority, we hereby will provide necessary supporting documents as per the policies and procedures implemented by the compliance department of Canary Hills Bullion LLC and in line with DMCC and OECD Guidance for Responsible Supply Chain.

In case of any future changes with the origin of the precious metal, I agree to advise the company beforehand and to provide supporting documents prior to sending any delivery / shipment. Upon having my account, I will be responsible to update my files and submit any documents that are necessary for the compliance team.

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

I undertake to automatically inform of any material changes.

SIGNATURE

	Authorised Signatory	Authorised Signatory
Signature:		
Print Name:		
Title:		
Company Name		
Date and location:		



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List of Documents

<input type="checkbox"/>	Account Opening Forms
<input type="checkbox"/>	Trade License (the License must allow the relevant business activities such as dealing in precious metal, jewellery trading, etc. and should be valid)
<input type="checkbox"/>	Memorandum of Association / Share Registry
<input type="checkbox"/>	List of Directors/Signatories along with Passport , visa and Emirates ID
<input type="checkbox"/>	Utility Bills of Company and Manager / signatory (not older than 3 months)
<input type="checkbox"/>	Tax Registration Certificate
<input type="checkbox"/>	Audited Financials
<input type="checkbox"/>	Supply Chain Policy
<input type="checkbox"/>	AML Policy
<input type="checkbox"/>	Bribery Policy
<input type="checkbox"/>	Human Rights Policy
<input type="checkbox"/>	SSI on the Letterhead duly signed
<input type="checkbox"/>	In case of UAE entity, confirmation of GoAML registration
<input type="checkbox"/>	If PEP, please provide details on Company letterhead
<input type="checkbox"/>	Any other documents which deems necessary.