



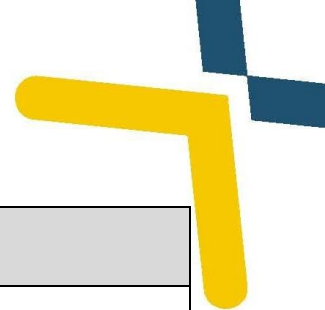
REQUIRED DOCUMENTS:

All document required can be submitted as scanned copy for initial review by the Compliance Department. You will be advised when to submit the original documents.

1	ACCOUNT OPENING FORM (Original Copy)
2	TRADE LICENSE, COMMERCIAL REGISTER and PARTNERS
3	MEMORANDUM OF ASSOCIATION / SHARE REGISTER
4	PASSPORT & VISA COPIES OF BENEFICIAL OWNER & AUTHORIZED SIGNATORY
5	UTILITY BILL (i.e. water bill, electric bill, bank details, tenancy contract etc.)

IMPORTANT NOTES:

- Account Opening form is available on www.orbexgold.com
- Documents are only accepted in English & Arabic languages (*As for other languages: Documents must be translated by notary public*).
- The Documents mentioned above are the initial required documents, and the other document might be requested when necessary.
- All contracts and agreements will be provided upon compliance department approval on the submitted application.

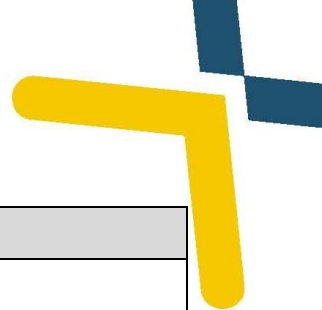


Company Information			
Company Name			
Company website			
Registered address			
Trade License Number			
Date of Incorporation			
Business Activity			
Company Structure			
Details of Beneficial Owners			
Full Name	Nationality	Passport number	% of Shares

Contact Details (Authorized Person in the company)	
Name:	
Designation:	
Email Address:	
Contact Number:	
Contact Details (Authorized Person in the company)	
Name:	
Designation:	
Email Address:	
Contact Number:	
Contact Details (Authorized Person in the company)	
Name:	
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Contact Number:	

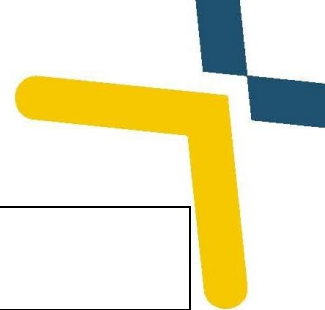
Bank Details			
Account Name			
Bank Name		IBAN #:	
Bank Address		Swift Code:	

Authorized Signature & Company Stamp: _____



BUSINESS DETAILS	
Primary Business Activity	
How long have you been trading with physical gold/silver?	_____ years
From whom do you purchase gold	<input type="checkbox"/> Local suppliers <input type="checkbox"/> International suppliers
Who are your suppliers?	<input type="checkbox"/> Individual <input type="checkbox"/> Small/medium sized traders <input type="checkbox"/> Wholesalers <input type="checkbox"/> Mines
Which countries do you purchase your physical gold from?	
In which countries do you sell your physical gold?	
What is your average monthly gold and silver purchase volume (kg)?	
What is your average monthly gold and silver selling volume (kg)?	
Do any of your Recycled Gold originate from the mentioned countries? Democratic Republic of Congo, The Republic of Congo, Tanzania, Uganda, South Sudan, Angola, Central Africa, Rwanda, Burundi, Zambia, North Korea	<input type="checkbox"/> No <input type="checkbox"/> Yes, mention the country _____
What is the form of the physical gold that you purchase?	<input type="checkbox"/> Nuggets <input type="checkbox"/> Dore Bars <input type="checkbox"/> Recycled Jewellery <input type="checkbox"/> Recycled Gold <input type="checkbox"/> Refined Bars
Do you accept cash payments?	<input type="checkbox"/> No <input type="checkbox"/> Yes, Up to which amount? _____
Do you pay in cash?	<input type="checkbox"/> No <input type="checkbox"/> Yes, Up to which amount? _____
Can you trace all refined gold deliveries to your customers?	<input type="checkbox"/> No <input type="checkbox"/> Yes, mention the period _____
For how long do you maintain inventory records?	
Does the company establish written policies and procedures that cover <ul style="list-style-type: none"> • Money Laundering and Financing of Terrorism • Human Rights Violation • Fraud • Conflict Mineral Risks 	<input type="checkbox"/> Yes, please attach a copy <input type="checkbox"/> No , What measure does the company take to ensure Compliance?
Does your policies and procedure include :	<input type="checkbox"/> Identification and Verification of the client <input type="checkbox"/> Not dealing with anonymous Clients <input type="checkbox"/> Source of funds of the client <input type="checkbox"/> Monitoring transactions <input type="checkbox"/> Alerting, detecting and reporting unusual transactions

Authorized Signature & Company Stamp: _____



Does the company maintain records of identification of clients, its files and correspondence?	<input type="checkbox"/> No <input type="checkbox"/> Yes, mention the period
Does the company have a risk-based assessment of its precious metals suppliers (e.g. low, medium or high risks)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the company cooperate with local regulatory to permit investigation of suspicious activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the company's procedure include retention of relevant records?	<input type="checkbox"/> No <input type="checkbox"/> Yes, mention the period
Are the relevant staffs regularly trained on the policies and procedures, requirements of local laws and regulations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you using methods for reporting suspicious activities and transactions to appropriate authorities such as DMCC or any relevant authority?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the company have policy to protect the employees who report in good faith any suspicious activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the company monitor its clients and suppliers against sanctioned names as notified by competent authorities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the company policies and procedures include independent audit or testing?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are you familiar with the OECD/DMCC Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the company have adequate supply chain policy that includes ongoing, proactive and reactive due diligence, risk assessment and mitigation controls to make sure that the suppliers are not dealing with precious metals originating from conflict affected or high risk areas?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have an employee assigned only for responsible supply chain & due diligence review?	<input type="checkbox"/> No <input type="checkbox"/> Yes, kindly provide the contact details Name: Phone: Email:
Kindly confirm if you have received a copy and have reviewed and implemented/ aware of any of the following:	<input type="checkbox"/> OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas <input type="checkbox"/> DMCC Practical Guidance for Market Participants in the Gold and Precious Metals Industry <input type="checkbox"/> LBMA Gold Guidance

Authorized Signature & Company Stamp: _____



Declaration

Source of Funds and equities:

The undersigned hereby warrants to ORBEX GOLD DMCC that the Metals/Funds to be delivered to ORBEX GOLD DMCC for treatment or trading have been procured through legal means and have been acquired from legitimate sources not involved in funding conflict or incompliance 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.

Source of Metals:

I the undersigned agree that all the documents (actual invoice, custom declaration, airway bill and other documents attached to each shipment) regarding the origin of the metal will be declared to ORBEX GOLD DMCC. This is part of the policies and procedures implemented by the compliance department 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.

Name: _____

Position: _____

Email Address: _____

Contact Number: _____

Signature: _____

Authorized Signature & Company Stamp: _____