|  |  |  |  |
| --- | --- | --- | --- |
| **DSV Trading Limited** | | | |
| **Know Your Customer/Business** | | | |
|  | | | |
| **Basic Details** | | | |
| **Legal Name** |  | | |
| **Legal Structure** | Sole Proprietor Partnership firm  Corporate Trust  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Nature of Business** |  | | |
| **Date of Establishment** |  | **Place of Establishment** |  |
| **Primary Market** |  | | |
| **Primary products/services** |  | | |
| **Annual Turnover** |  | **Company Asset Size** |  |
| **Trade License/Business Registration Certificate No.** |  | | |
| **Trade License/Business Registration Certificate Expiry Date** |  | **Whether regular customer/supplier?** | Yes No |
| **Details of direct/indirect subsidiaries?** |  | | |
| **Purpose of Transaction** |  | | |
| **Regulatory Authority for Business Activities** |  | | |
| **Registered Place of Business** |  | | |
| **Principal Place of Business** *(if separate from registered place of business)* |  | | |
| **City** |  | **State** |  |
| **Country** |  | **Pin Code** |  |
| **Email ID** |  | | |
| **Website** |  | | |
| **Business Phone Number** |  | | |
| **Listed Company?** | Yes No | **If yes, on which Stock Exchange?** |  |
| **Scrip Code** |  | | |
| **No. of years in business** |  | **No. of employees** |  |
| **Other information** |  | | |
|  | | | |
| **Authorized Signatory** | | | |
| **Name** |  | **Designation** |  |
| **Gender** |  | **Birthdate** |  |
| **Birthplace** |  | **Nationality** |  |
| **Identity Proof** | Driving License Passport  Hong Kong ID iAM Smart Verification  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Identification Number** |  | | |
| **Contact Number** |  | **Email ID** |  |
| **Address Proof** | Utility Bill  Municipal Tax Record  Property Purchase, Lease/Rental Agreement  Bank Statement  Insurance Policy  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Hong Kong/China Resident?** | Yes No | **Travel Permit Type (Foreign National)** |  |
| **Travel Permit Number** |  | **Travel Permit Expiry Date** |  |
| **Politically Exposed Person?** | Yes No | | |
| **Local Address** |  | | |
| **Permanent Address** |  | | |
| **City** |  | **State** |  |
| **Country** |  | **Pin Code** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Shareholders** | | | |
| **Name** | **Shareholding %** | **Passport No./Hong Kong ID** | **Nationality** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Ultimate Beneficial Owners (UBO) – Only Individuals** | | | |
| **Name** | **UBO by way of -** | **Shareholding %** | **Nationality** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Board of Directors/Senior Management** | | | |
| **Name** | **Designation** | **Passport No./ Hong Kong ID** | **Nationality** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Bank Account Details** | | | |
| **Account Number** |  | | |
| **Account Name** |  | | |
| **Name of the Bank** |  | | |
| **Bank Address** |  | | |
| **City** |  | **State** |  |
| **Country** |  | **Pin Code** |  |
| **SWIFT Code** |  | **Currency of Account** |  |
| **Source of Funds** |  | | |

|  |  |
| --- | --- |
| **DECLARATION** | |
| I/We hereby declare that the information given herein are true, correct and complete to the best of my knowledge and belief. In addition, the documents submitted along with this application are genuine.  I/We hereby undertake to promptly inform DSV Trading Limited of any changes in the information provided herein.  I/We agree & accept that DSV Trading Limited is not responsible or liable for any losses or activities performed based on this information provided by me/us and also due to not advising of any such changes.  Also, it is agreed that I/we will provide any additional information/documentation that may be required from time to time by DSV Trading Limited or its authorized agents in any connection with this form. | |
| **Signature** |  |
| **Name of the Customer/Supplier** |  |
| **Date** |  |
| **Place** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Documents to be Provided** | | | |
| **Documentary proof collected and verified with source of document** | | | |
| **Certificate of Incorporation** |  | **Memorandum of Association** |  |
| **Article of Association** |  | **Trade License** |  |
| **Certificate of Good Standing** |  | **Record in an independent company registry** |  |
| **Certificate of Incumbency** |  | **Record of registration** |  |
| **Partnership agreement or deed or any constitutional document** |  | **Utility Bill** |  |
| **Municipal Tax Record** |  | **Bank Statement** |  |
| **Insurance Policy** |  | **Latest Audited Financials** |  |
| **Property Purchase, Lease/Rental Agreement** |  | **Power of Attorney** |  |
| **Register of Shareholders/Directors/ UBO** |  | **Board Resolution for Authorised Signatory** |  |
| **ID Proof of Authorised Signatory** |  | **Address Proof of Authorised Signatory** |  |
| **Group Organization Chart** |  | **KYC Form for Partners/ UBO/Directors/Shareholders** |  |
| **Others** *(please specify)* |  | **Others** *(please specify)* |  |
| **Others** *(please specify)* |  | **Others** *(please specify)* |  |
|  |  |  |  |
| **Verified By (1st)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |
|  | | | |
| **Verified By (2nd)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |
|  | | | |
| **Branch** |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **DSV Trading Limited** | | | |
| **Supply Chain and Compliance Declaration** | | | |
|  | | | |
| **Origin of Precious Metals** | | | |
| **From whom do you source your precious metal products?** | Refineries Bankers  Precious Metals Dealers Industrial  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Name of your Precious Metal Supplier** |  | | |
| **Legal Structure of your supplier** | Sole Proprietor Partnership firm  Corporate Trust  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Country of purchase of precious metals** |  | **Country of origin of precious metal to be delivered to us?** |  |
| **Is your supplier a regular supplier, having established legitimate ownership over the precious metals?** | Yes No | **Do you ensure that your precious metal purchase complies with the regulations of the country of origin?** | Yes No |
| **Do you have license to import precious metals?** *(If yes, provide the copy of the same)* | Yes No | **Do you have license to export precious metals?** *(If yes, provide the copy of the same)* | Yes No |
| **What is the form of precious metals you source?** | Rudimentary Bars Coins  Jewellery Own Production Waste  Broken Jewellery Collected Waste  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Recycled precious metals (%)** |  | | |
| **Are you having your smelting facility or refinery?** | Yes No | | |
| **Are you having your manufacturing facility?** | Yes No | | |
| **Do you produce your own jewellery?** | Yes No | | |
|  | | | |
| **Responsible Gold Sourcing** | | | |
| **Do you have a policy in place for responsible supply chain of gold from conflict-affected and high-risk areas policy as set out in Annex II to the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?** *(If yes, provide the copy of the same)* | | | Yes No |
| **Are you complying with any other Responsible Gold Sourcing Standards?** | LBMA Responsible Gold Guidance  RJC Chain of Custody Standard  WGC Conflict Free Gold Standard  Conflict Free Smelter (CFS) Program  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| ***Applicable only to Intermediate Refinery* - Have you obtained an independent Assurance Report regarding conformation with an OECD responsible sourcing scheme?** | | | Yes No  Not Applicable |
| **Mode of Payment on your purchases (to your supplier)?** |  | **Mode of Payment on your sales (from your customer)?** |  |
|  | | | |
| **AML, Anti-Bribery Policy and other compliances** | | | |
| **Do you have adequate AML / CFT related internal policies and procedures in place to mitigate the ML/FT risk?** | | | Yes No |
| **Applicable AML Regulation** | |  | |
| **Regulatory Authority for AML** | |  | |
| **Have you appointed duly qualified person as AML Compliance Officer?** | | | Yes No |
| **Do you ensure regular AML trainings to your staff?** | | | Yes No |
| **Do you have anti-bribery policy in place?** *(If yes, provide the copy of the same)* | | | Yes No |
| **Do you have a procedure in place to seek details about customer/supplier and their UBO?** | | | Yes No |
| **Do you seek documents from customer/supplier for verification of identity and address?** | | | Yes No |
| **Do you use child or forced labour to carry out your work?** | | | Yes No |
| **Do you comply with relevant environmental regulations, including provisions regarding protection of environment and sustainable development?** | | | Yes No |

|  |  |
| --- | --- |
| **DECLARATION** | |
| I/We hereby declare that the information given herein are true, correct and complete to the best of my knowledge and belief. In addition, the documents submitted along with this application are genuine.  I/We hereby declare that the precious metal supplied to DSV Trading Limited neither originates from any illegal sources nor has been transacted through or connected to criminal activities.  I/We hereby undertake to promptly inform DSV Trading Limited of any changes in the information provided herein.  I/We agree & accept that DSV Trading Limited is not responsible or liable for any losses or activities performed based on this information provided by me/us and also due to not advising of any such changes.  Also, it is agreed that I/we will provide any additional information/documentation that may be required from time to time by DSV Trading Limited or its authorized agents in any connection with this form. | |
| **Signature** |  |
| **Name of the Customer/Supplier** |  |
| **Date** |  |
| **Place** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **For Office Use only** | | | |
| **Documentary proof collected** | | | |
| **Import License** |  | **Export License** |  |
| **Responsible Gold Supply Chain Policy** |  | **Anti-Bribery Policy** |  |
| **Others** *(please specify)* |  | **Others** *(please specify)* |  |
|  |  |  |  |
| **Verified By (1st)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |
|  | | | |
| **Verified By (2nd)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |
| **Branch** |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **DSV Trading Limited** | | | |
| **Annexure 1 A: Individual Partner/Shareholder/Directors/UBO** | | | |
|  | | | |
| **Basic Details** | | | |
| **Name** *(including alias)* |  | | |
| **Gender** |  | **Birthdate** |  |
| **Birthplace** |  | **Nationality** |  |
| **Identification Proof** | Driving License Passport  Hong Kong ID iAM Smart Verification  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Identification Number** |  | | |
| **Contact Number** |  | **Occupation** |  |
| **Email ID** |  | | |
| **Address Proof** | Utility Bill  Municipal Tax Record  Property Purchase, Lease/Rental Agreement  Bank Statement  Insurance Policy  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Hong Kong/China Resident?** | Yes No | **Travel Permit Type (Foreign National)** |  |
| **Travel Permit Number** |  | **Travel Permit Expiry Date** |  |
| **Source of Income** |  | **Annual Income** |  |
| **Politically Exposed Person?** | Yes No | | |
| **Local Address** |  | | |
| **Permanent Address** |  | | |
| **City** |  | **State** |  |
| **Country** |  | **Pin Code** |  |
| **Other information** |  | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Ultimate Beneficial Owners (UBO) as –** | | | |
| Owns or controls 25% or more of the shares or voting rights |  | Exercises ultimate control over the management |  |
| Ultimately owns or controls whether directly or indirectly 25% or more of the shares or voting rights in the business |  | Exercises ultimate control over the management, or controls the corporate body |  |
| Holds the right, directly or indirectly, to appoint or remove a majority of the board of directors |  | Controls the corporate body |  |
| Has the right to exercise, or actually exercises, significant influence or control over the corporate body |  | Others *(please specify)* |  |

|  |  |
| --- | --- |
| **DECLARATION** | |
| I/We hereby declare that the information given herein are true, correct and complete to the best of my knowledge and belief. In addition, the documents submitted along with this application are genuine.  I/We hereby undertake to promptly inform DSV Trading Limited of any changes in the information provided herein.  I/We agree & accept that DSV Trading Limited is not responsible or liable for any losses or activities performed based on this information provided by me/us and also due to not advising of any such changes.  Also, it is agreed that I/we will provide any additional information/documentation that may be required from time to time by DSV Trading Limited or its authorized agents in any connection with this form. | |
| **Signature** |  |
| **Name of the Customer/Supplier** |  |
| **Date** |  |
| **Place** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **For Office Use only** | | | |
| **Documentary proof collected and verified with source of document** | | | |
| **Hong Kong ID** |  | **Passport** |  |
| **Driving License** |  | **iAM Smart Verification** |  |
| **Utility Bill** |  | **Municipal Tax Record** |  |
| **Insurance Policy** |  | **Bank Statement** |  |
| **Travel Permit** |  | **Any other Government issued ID (for foreign nationals)** |  |
| **Others** *(please specify)* |  | **Others** *(please specify)* |  |
|  |  |  |  |
| **Verified By (1st)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |
|  | | | |
| **Verified By (2nd)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **DSV Trading Limited** | | | |
| **Annexure 1 AB: Corporate Partner/Shareholder** | | | |
|  | | | |
| **Basic Details** | | | |
| **Legal Name** |  | | |
| **Legal Structure** | Sole Proprietor Partnership firm  Corporate Trust  Others (please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
| **Nature of Business** |  | | |
| **Date of Establishment** |  | **Place of Establishment** |  |
| **Annual Turnover** |  | **Company Asset Size** |  |
| **Trade License Number** |  | **Trade License Expiry Date** |  |
| **Details of direct/indirect subsidiaries?** |  | | |
| **Are you subject to Hong Kong AML Regulations?** | Yes No | **If yes, do you have AML/CFT-related internal policies and procedures to mitigate the ML/FT risk?** | Yes No |
| **Registered Place of Business** |  | | |
| **Principal Place of Business** *(if separate from registered place of business)* |  | | |
| **City** |  | **State** |  |
| **Country** |  | **Pin Code** |  |
| **Email ID** |  | | |
| **Website** |  | | |
| **Business Phone Number** |  | | |
| **Listed Company?** | Yes No | **If yes, on which Stock Exchange?** |  |
| **Scrip Code** |  | | |
| **No. of years in business** |  | **No. of employees** |  |
| **Other information** |  | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Shareholders** | | | |
| **Name** | **Shareholding %** | **Passport No./Hong Kong ID** | **Nationality** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Ultimate Beneficial Owners (UBO) – Only Individuals** | | | |
| **Name** | **UBO by way of -** | **Shareholding %** | **Nationality** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Board of Directors/Senior Management** | | | |
| **Name** | **Designation** | **Passport No./Hong Kong ID** | **Nationality** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |
| --- | --- |
| **DECLARATION** | |
| I/We hereby declare that the information given herein are true, correct and complete to the best of my knowledge and belief. In addition, the documents submitted along with this application are genuine.  I/We hereby undertake to promptly inform DSV Trading Limited of any changes in the information provided herein.  I/We agree & accept that DSV Trading Limited is not responsible or liable for any losses or activities performed based on this information provided by me/us and also due to not advising of any such changes.  Also, it is agreed that I/we will provide any additional information/documentation that may be required from time to time by DSV Trading Limited or its authorized agents in any connection with this form. | |
| **Signature** |  |
| **Name of the Customer/Supplier** |  |
| **Date** |  |
| **Place** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **For Office Use only** | | | |
| **Documentary proof collected and verified with source of document** | | | |
| **Certificate of Incorporation** |  | **Memorandum of Association** |  |
| **Article of Association** |  | **Trade License/Business Registration Certificate** |  |
| **Certificate of Good Standing** |  | **Record in an independent company registry** |  |
| **Certificate of Incumbency** |  | **Record of registration** |  |
| **Partnership agreement or deed or any constitutional document** |  | **Utility Bill** |  |
| **Municipal Tax Record** |  | **Bank Statement** |  |
| **Insurance Policy** |  | **Latest Audited Financials** |  |
| **Property Purchase, Lease/Rental Agreement** |  | **Power of Attorney** |  |
| **Register of Shareholders/Directors/ UBO** |  | **Group Organization Chart** |  |
| **Others** *(please specify)* |  | **Others** *(please specify)* |  |
| **Others** *(please specify)* |  | **Others** *(please specify)* |  |
|  |  |  |  |
| **Verified By (1st)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |
|  | | | |
| **Verified By (2nd)** | | | |
| **Name** |  | | |
| **Signature** |  | | |
| **Designation** |  | **Date** |  |