

DOCUMENTATION REQUIREMENTS

Corporate Clients

1. Proof of Legal Good standing of the company (One of the following documents is required)
 - I. Bank reference letter
 - II. Certified extract from the Commercial Register
 - III. Valid trade licence or Mining licence
 - IV. Confirmation from a lawyer or a Notary Public
2. Verification of Client operational Address (One of the following is acceptable)
 - I. Utility Bill
 - II. Tenancy contract
 - III. Trade Licence
3. Identification of Beneficial Owner (All documents required)
 - I. Share register
 - II. Incorporation Memorandum of Association
4. Authorised Signature / Beneficial (All documents required)
 - I. Valid Passport (copy)
 - II. Detailed address and contact information
 - III. Specimen signature
5. Signed Application form for account opening, trading agreement and its annexes

INDIVIDUAL CLIENTS

1. Valid, Original ID Card or passport clearing showing
 - I. Legal Name
 - II. Date and place of Birth
 - III. Nationality
2. Verification of Clients operational Address (One of the following is acceptable)
 - I. Utility Bills
 - II. Tenancy Contract
 - III. Confirmation from third party (Notary Public, bank or lawyer)
3. Signed application forms for account opening trading agreement and refinery agreement.



SECTION (A) COMPANY INFORMATION

Company Name (as shown in Trade Licence)

Country of establishment

Trade Licence No.

Year of Incorporation

Beneficial Owner / Authorized Signature 1:

Beneficial Owner / Authorized Signature 2:

Beneficial Owner / Authorized Signature 3:

Beneficial Owner / Authorized Signature 4:

Address: main office:

Telephone:

Fax:

Website:

Other Branches (If any):

Telephone:

Fax:

E-mail:

Website:



SECTION (B1) PERSONAL INFORMATION

Beneficial Owner Authorized Signature Both

Family Name (As shown in passport)

First or given name (As shown in passport)

Mr. / Mrs. / Ms. / Miss. / Dr.

Any other names

Gender Male Female

Date of Birth

Country of Citizenship

Passport number

Issued date

Expiry Date

Other Citizenship Currently held

Current home address

Telephone

Telephone (mobile)

Fax

E-mail

Current office or work address

Telephone

Telephone (mobile)

Fax

E-mail

SECTION B2 BUSINESS EXPERIENCE

How many years of business experience do you have? _____ years

Most of your work has been in?

Refining Bullion Jewellery Trading Dore

Risk Type? Conservative Moderate Aggressive

Knowledge of trading

Spot

Futures

Options and Derivatives

Authorized signature:



SECTION (C1) PERSONAL INFORMATION

Beneficial Owner Authorized Signature Both

Family Name (As shown in passport)

First or given name (As shown in passport)

Mr. / Mrs. / Ms. / Miss. / Dr.

Any other names

Gender Male Female

Date of Birth

Country of Citizenship

Passport number

Issued date

Expiry Date

Other Citizenship Currently held

Current home address

Telephone

Telephone (mobile)

Fax

E-mail

Current office or work address

Telephone

Telephone (mobile)

Fax

E-mail

SECTION C2 BUSINESS EXPERIENCE

How many years of business experience do you have? _____ years

Most of your work has been in?

Refining Bullion Jewellery Trading Dore

Risk Type? Conservative Moderate Aggressive

Knowledge of trading

Spot

Futures

Options and Derivatives

Authorized signature:



SECTION (D1) PERSONAL INFORMATION

Beneficial Owner Authorized Signature Both

Family Name (As shown in passport)

First or given name (As shown in passport)

Mr. / Mrs. / Ms. / Miss. / Dr.

Any other names

Gender Male Female

Date of Birth

Country of Citizenship

Passport number

Issued date Expiry Date

Other Citizenship Currently held

Current home address

Telephone Telephone (mobile)

Fax E-mail

Current office or work address

Telephone Telephone (mobile)

Fax E-mail

SECTION D2 BUSINESS EXPERIENCE

How many years of business experience do you have? _____ years

Most of your work has been in?

Refining Bullion Jewellery Trading Dore

Risk Type? Conservative Moderate Aggressive

Knowledge of trading
Spot Futures Options and Derivatives

Authorized signature:



SECTION (E1) PERSONAL INFORMATION

Beneficial Owner Authorized Signature Both

Family Name (As shown in passport)

First or given name (As shown in passport)

Mr. / Mrs. / Ms. / Miss. / Dr.

Any other names

Gender Male Female

Date of Birth

Country of Citizenship

Passport number

Issued date

Expiry Date

Other Citizenship Currently held

Current home address

Telephone

Telephone (mobile)

Fax

E-mail

Current office or work address

Telephone

Telephone (mobile)

Fax

E-mail

SECTION E2 BUSINESS EXPERIENCE

How many years of business experience do you have? _____ years

Most of your work has been in?

Refining Bullion Jewellery Trading Dore

Risk Type? Conservative Moderate Aggressive

Knowledge of trading

Spot

Futures

Options and Derivatives

Authorized signature:



SECTION (F): PROPOSED BUSINESS DETAIL

Physical Business

- Refining service
 Gold Silver PGMS Please specify _____
 Jewellery scrap Bullion Trading

 Dore bars (Mines Originated) trading
 Pure Gold Bar 99.95 / 99.99
 Purchase Sales
 PGMs Scrap and dore trading
 Trading Business
 Precious Metals and forex trading
 Forex trading for settlement
 Euro GBP CHF US\$ Others

Type of Delivery

Cargo hand Cary Both

Expected Quality Per Delivery / Pick Up

Gold (Oz)	Silver (Oz)	Platinum (OZ)	
Euro <input type="checkbox"/>	GBP <input type="checkbox"/>	CHF <input type="checkbox"/>	US\$ <input type="checkbox"/>
Other <input type="checkbox"/>	Others <input type="checkbox"/>	Others <input type="checkbox"/>	

Expected frequency of deliveries / pick ups

Daily (total ___ Kg) weekly (total ___ Kg) Monthly (total ___ Kg)

List of previous companies you have dealt with

<i>Company name</i>	<i>Country</i>
1 _____	_____
2 _____	_____
3 _____	_____
4 _____	_____
5 _____	_____

Source of Metal / Funds

are you a gold miner representative
 are you a gold jewellery manufacturer or wholesaler
 Bullion bar consolidator Yes No

If yes _____ Scrap jewellery Bar Mine Originated Bullion bars

Authorized signature:

SECTION G: SOURCE OF METALS / FUNDS

If bars originated from consolidating dore bars (mines as origin)

Please list the name of your primary supplier along with their address

--

List the region where dore is mined as well as the expected yearly volume

Region Country expected volume / year

--

Please describe your chain procedure and policy for verifying the source of metal

--

What is your policy regarding Anti money laundering and combating the financial terrorism

--

Do you keep records of companies that you usually buy metals from?

Yes No

Passport copies for company's representative Trade Licence

Mining Licence others

Authorized signature:

SECTION H: DUE DILIGENCE IN THE MINERAL SUPPLY CHAIN

1. Does your company have a strong management system?

Yes No

Do you have company policy?

Yes No

If yes, does your policy comply with VECD guidelines for responsible supply chains of minerals from conflict affected and high-risk areas? Yes No

Do you have an informal management to support supply chain due diligence?

Yes No

Do you have contracts and agreements with your suppliers?

Yes No

2. Does your company identify, assess risk in your supply chain?

Yes No

3. Do you have a designed and implementation strategy to respond to identified risks?

Yes No

If yes, please provide some details regarding your procedures

4. Does your company carry out third party audit of supply chain due diligence?

Yes No

If yes, please provide latest audit

5. Do you have the company policy on your website?

Yes No

If yes, please provide us with your website or other links that we can obtain this policy.

If no, please provide us with a copy of your company policy

Authorized signature:

SECTION I: DUE Declaration

Source of funds, metals and equities

We / I undersigned do hereby warrants under the penalty of perjury that the funds / metals to be delivered to Helvent Investment Limited for Trading have been procured, sourced, secured through legal means and or investment channels. We further attest that such funds / metals have been purchased and or sourced from legitimate investment sources not involved or related to conflict funding, illicit gains from narcotic and or drug related businesses, including human right violations neither from profits accrued in contravention of any laid down international laws including money laundering. We state here to the best of my / our knowledge and legitimate means to be used in trading with Helvent Investment Limited.

Authorized person (s) name:

Authorized person (s) name:

Date:



SECTION J: Specimen Signature

Each Signature to be signed in one box

1. Authorized Signatory

Name:

2. Authorized Signatory

Name:

3. Authorized Signatory

Name:

4. Authorized Signatory

Name:

I hereby warrant that the information provided herein is to the best of my knowledge an accurate statement of fact and that it is my (our duty) to update Helvent Investment Limited in writing with any and all changes with regards to the legal status of the company, it's share holders, beneficial owners and any Authorized signatory

Company name

Company Stamp

Authorized signature



SECTION K: For Helvent Investment Limited use only

1. Compliance Department

Name:

Are all requirement submitted: Yes No

If no, kindly specify

Signature:

Date:

2. Management Approval

Name:

Approved Yes No

If no, kindly specify

Signature:

Date:

3. Account Opened by

Name:

Signature:

Date:

Client's account name:

Client's account number:



1. Company Details

Company Name:

Introduced to Helvent Investment Limited by

Contact Person

Types of company (please check on): Limited by Guarantee other

Nature of business

Secondary line of business

Planned diversification

Postal address:

Website

Email Address

Physical address

Telephone/fax

Telephone 1

Telephone 2

Facsimile

2. Ownership/Management Details

Ownership

Name	Nationality	Share holding(%)

Management/Directors

Name		
Place/date of birth		
Nationality		
Position		
# of years in above position		
# of years with company		
# of years working life		
Academic background		



Professional background			
Telephone(s)			
Landline			
Mobile Phone 1			
Mobile Phone 2			
Residential address			
Accommodation rented or owned			
Mailing address (box #)			
Email address			
ID Type (passport/driver's licence/voter's ID)			
Place / Issued date			
Expiry date			

3. Banking Relationship Details

Current Banker

Bank	Branch	Address

Authorized signatories to bank accounts

Name	Bank	Branch address

Previous Bankers in the Past 10 Years

Bank	Branch	Address

4. Sources of Finance (Past two years)

Name of Lending Institution	Nature of Finance	Total Amount	Status

