**Know Your Client ('KYC') Assessment Form**

(For Non-Gazetted Activities)

|  |  |
| --- | --- |
| **Details** | - |
| Name of Client | TOMEI GOLD &JEWELLERY HOLDINGS (M) SDN. BHD. |
| Year Ending (if applicable) | - |
| Nature of Service / Purpose of transaction | - |
| KYC Risk Rating | - |

|  |  |  |
| --- | --- | --- |
| **Summary of Relevant Information** | **Yes / No** | **Details** |
| Politically Exposed Person ('PEP') (only if the person is a PEP within the last 12 months preceding the Artemis search dated [ ]) | No | (State the name of the PEP) |
| Higher Risk Jurisdiction(s)/country(ies) | No | (State the name of the jurisdiction/county) |
| Client/BO/Director listed in alert list issued by authorities | No | (State the Client/BO/Director's name and the alert list's name) |
| Client/BO/Director under investigation orders issued by authorities | No | (State the Client/BO/Director's name and the authorities' name) |
| Adverse information about the Client/BO/Director | No | (State the Client/BO/Director's name and reference of the news in the KYC) |

**Objective**

To document our KYC risk assessment and response during the client acceptance / retention stage

Completion of KYC Assessment (Refer to the KYC Guidance Notes)

**KYC Assessment Form (continued)**

**Part A – Client Due Diligence**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Tasks** | **Name** | **Designation** | **Signature** | **Dates** |
| Prepared by | - | - | - | - |
| Reviewed by (Engagement team) | - | - | - | - |

|  |  |  |
| --- | --- | --- |
| **Approved by** | **Designation** | **Date** |
| - | - | - |

|  |  |  |
| --- | --- | --- |
| **Reviewed by** | **Designation** | **Date** |
| - | - | - |

|  |  |  |
| --- | --- | --- |
| **Engagement Approved by** | **Designation** | **Date** |
| - | - | - |

**KYC Assessment Form (continued)**

(For Non-Gazetted Activities)

**Part A – Client Due Diligence**

**Section 1 – Engagement Information**

|  |  |  |
| --- | --- | --- |
| 1.  -  -  - | Type of client  -  -  - | Individual (Natural Person) ('IND') |
| Legal person ('LP') |
| Legal arrangement('LA') |
| Club, Society and Charity('CSC') |
| 2. | Type of engagement (Recurring/Non-recurring) | - |
| 3. | Nature of Service (Audit/Tax/Advisory/BSO) | - |
| 4. | Proposed services | - |
| 5. | Which office will accept/retain the client? | - |

**Section 2 – Information of the Client**

|  |  |
| --- | --- |
| 1. Individual | - |
| a) National Registration Identity Card ('NRIC') or passport number | N/A |
| b) Residential and mailing address | N/A |
| 2. Legal person/Legal arrangement/Club, Society and Charity | - |
| a) Business registration no. | 197701002534 (33551-H) |
| b) Address of principal place of business | SO-26-02, MENARA 1, NO. 3 JALAN BANGSAR, KL ECO CITY, 59200 KUALA LUMPUR, W.P. KUALA LUMPUR, MALAYSIA |
| c) Names of relevant persons having a senior management position | - |

**Section 3 – Information of the Beneficial Owner(s)**

**KYC Assessment Form (continued)**

(For Non-Gazetted Activities)

**Part A – Client Due Diligence**

|  |  |
| --- | --- |
| 1. Identity of natural person(s) who ultimately has controlling ownership or power over the client: | - |
|  | - |

|  |  |
| --- | --- |
| 2. Information of the identified beneficial owner(s): | - |
| a) Name | - |
| b) National Registration Identity Card ('NRIC') or passport number | - |
| c) Nationality | - |

**Section 4 - Client Risk Profiling**

1. Based on the Artemis screening, is the client, BO and/or Director(s) classified as PEP(s) or relatives or close associates ('RCA') of PEP?

|  |  |  |
| --- | --- | --- |
| - | Yes/No | Name of the PEP(s) |
| Foreign PEP | No | - |
| Domestic PEP | No | - |
| RCA of Foreign PEP | No | - |
| RCA of Domestic PEP | No | - |
| Persons who are or have been entrusted with a prominent function by an international organisation which refers to members of senior management | No | - |
| State-owned Enterprise/ state-invested entity | No | - |

**KYC Assessment Form (continued)**

(For Non-Gazetted Activities)

**Part A – Client Due Diligence**

|  |  |
| --- | --- |
| Section 4 - Client Risk Profiling | - |
| 2. Does the client, BO or Directors appear on the sanctions lists from www.amlcft.bnm.gov.my and www.bnm.gov.my? | No |

**Section 4A Client Risk**

|  |  |
| --- | --- |
| 1. What is the structure of client's business? (Complex/Simple) | Simple |
| 2. Is the client under investigation orders and/or listed in alert list issued by authorities? | No |
| 3. Is the business relationship to be carried out in an unusual manner or subject to unusual requirements? | No |
| 4. Is there adverse information about the client from credible sources in the public domain? | No |
| 5. Is the Client involved in higher risk industries? | No |

**Section 4B Geographical Risk**

|  |  |
| --- | --- |
| 1. Is the client a resident or has close connections in increased monitoring or higher risk countries? | No |
| 2. Is the BO, Directors, or shareholders (including intermediate & ultimate shareholder) from sanctioned or jurisdictions under increased monitoring or higher risk countries or offshore/tax havens? | No |

**Section 4C Product, service, and delivery channel risks**

|  |  |
| --- | --- |
| 1. Would the services to be provided involve providing advice or other assistance on structuring that leads to complex structure and/or structure that obscures ownership? | No |
| 2. Did the Firm establish non face-to-face business relationship with the client? | No |

**KYC Assessment Form (continued)**

(For Non-Gazetted Activities)

**Part A – Client Due Diligence**

|  |  |
| --- | --- |
| 1. Based on Section 4 of this form, the KYC Risk Rating by the engagement team is: | - |
| KYC Risk Rating | - |
|  | If your KYC Risk Rating is High or if there are PEPs/RCA of PEPs identified, please complete the Enhanced Client Due Diligence under Part B. |

**KYC Assessment Form (continued)**

(For Non-Gazetted Activities)

**Part B – Enhanced Due Diligence**

Please complete this Part B for clients with High-Risk Ratings or if there are PEPs/RCA of PEPs identified.

|  |  |
| --- | --- |
| 1. What is the source of wealth or source of funds for the following individuals? In the case of PEPs, both sources must be obtained. | - |
| PEP(s) | N/A |