

MINEXX PLATFORM

Know Your Counterpart/AML/CFT/Onboarding Questionnaire

KYC steps

- **Know Your Customer documents to prepare for international export.**
- **These documents are to be posted on the Minexx Platform**
Our team is at your disposal to answer any questions you may have.

1. Company registration documents

- ☒ Articles of association of the company (notarized)
- ☒ Certificate of conformity (notarized)
- ☒ Certificate of Incorporation (notarized)
- ☒ List of authorized signatures and beneficial owners (notarized)
- ☒ Tax register (notarized)
- ☒ Extract from the commercial register / business register (notarized)

2. Policy and Procedures for Valid Licenses, Certifications and Reports

- ☒ License to Possess and Purchase Minerals (Notarized/Apostatized)
- ☒ Precious Metals Export and Import Permit (Notarized/Apostatized):
- ☒ Export license (if appropriate)
- ☒ Mining licences (notarized/apostatized)
- ☒ Latest financial reports and independent audit: 2020
- ☒ Counterparty policies and procedures (Anti-Money Laundering and Countering the Financing of Terrorism Policy, Responsible Gold Supply Chain Policy, etc.)

3. Identity of the owner or shareholder

- ☒ Copies of the identity of the owner or shareholders of the company
 - ⊖ Clear and coloured copies of passport and visa pages ~~(notarized)~~
- ☒ Copies of the identity of the directors of the company (members of the board of directors)
 - ⊖ Copies of passport and visa pages clear and colorful) ~~(notarized)~~

4. Bank account details

- ☒ Bank account numbers
- ☒ Bank Reference Letters

5. Completed forms

- ☒ Customer Compliance Forms by refinery / international buyer (Minexx to provide).

6. Commitments: Please read the full documents and make sure you understand them before we on board you on Minexx Platform and start implementing Minexx Trace.

- Minexx Code of Conduct
- OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-affected and High Risk Areas: <http://www.oecd.org/daf/inv/mne/mining.html>
- LBMA Responsible Gold Guidance: <http://www.lbma.org.uk/assets/RGG20130118.pdf>
- DMCC Practical Guidance: <https://www.dmcc.ae/jltauthority/gold/les/2013/01/DMCC-Practical-Guidance-for-Responsible-Supply-Chain.pdf>

CHECKLIST OF SUPPLIER ENTITY KYC DOCUMENTS

Statutes of the company	<input checked="" type="checkbox"/>
Certificate of Incorporation	<input checked="" type="checkbox"/>
Certificate of conformity	<input checked="" type="checkbox"/>
List of Signing Authority and Beneficial Owners	<input checked="" type="checkbox"/>
Tax Register	<input checked="" type="checkbox"/>
Commercial register/ Extract from the business register	<input checked="" type="checkbox"/>
Trade permit for trade and export of precious metals	<input checked="" type="checkbox"/>
Latest financial and audit reports	<input checked="" type="checkbox"/>
Company Policies and Procedures	<input checked="" type="checkbox"/>
Proof of copy of the identity card of all owners, shareholders and funders.	<input checked="" type="checkbox"/>
Bank Reference Letter	<input checked="" type="checkbox"/>
Invoice for utilities for Business Address (telephone, electricity, etc...)	<input checked="" type="checkbox"/>
International Compliance Forms	<input checked="" type="checkbox"/>

- ☒ Draft or To be Obtained prior to shipment
- ☒ Completed
- ☒ Not Available
- ☒ Missing

KYC/AML/CFT QUESTIONNAIRE

1. COMPANY CONTACT INFORMATION

- 1.1 Name:
- 1.2 Registered address:
- 1.3 Business address:
- 1.4 Telephone number:
- 1.5 Date of incorporation:
- 1.6 Country of incorporation:
- 1.7 Company registration number:
- 1.8 Contact person e-mail, address and phone number:
- 1.9 Tax Identification/Registration Number:
- 1.10 VAT Registration number:
- 1.11 Website:
- 1.12 Any comments:

2. BUSINESS ACTIVITY

- a. Type of business:
- b. Description of main business:
- c. Number of directly employed and permanent employees:
- d. Number of casual workers:
- e. Type of permit (if relevant):
 - a. Licence number:
 - b. Date issued:
 - c. Delivered by:
 - d. Expiry date:

- f. Do you source minerals/materials from:
 - a. Small scale sites (ASM):
 - b. Medium scale site:
 - c. Large scale site (LSM):
- g. How many mine sites do you source from?
- h. Where do you process minerals from?
 - a. At your own facility?
 - b. At a legitimate service provide?
 - c. Do you have a signed contract with the provide?
- i. What is the nature of sourced materials?
 - a. Concentrate:
 - b. Smelted:
 - c. Ingots
 - d. Nuggets:
 - e. Dore:
 - f. Powder:
 - g. Amalgam:
 - h. Recycled:
- j. What is the grade (%) of minerals do you source?
- k. Kindly list other business activities or source of income of your business:
- l. Previous names and affiliations:
- m. Detailed description of past activities:
- n. Any other information:

3. BENEFICIAL OWNERS AND/OR MEMBERS WITH VOTING RIGHTS

- SHAREHOLDER(S) in 3TG and other materials from low and high-risk areas
 - a. Recycled materials: all from 25% shares
 - b. Mined and intermediate materials: all from 5% shares
 - c. For tables below: in case of more than 4, please attach a list of all additional information

Percentage of participation (%)	Name and Title	Address Country of incorporation	Nationality(ies)	Date of incorporation or date of birth

- ULTIMATE BENEFICIAL OWNER (UBO): from 5% - natural person only

Percentage of participation (%)	Name and Title	Address	Nationality(ies)	Date of birth

- LINKS WITH OTHER COMPANIES (shareholders links with other parents companies, subsidiaries, joint ventures and other)

Shareholder name	Related company name	Address	Type of relationship	Any other information

a. FURTHER INFORMATION ON OWNERSHIP STRUCTURE

Further Information on ownership structure

3. MANAGEMENT STRUCTURE (with appointments)

Name	Title	Nationality	Date of birth/ incorporation	Shareholding (YES/NO)

LINKS OF SENIOR MANAGEMENT WITH OTHER COMPANIES

Name	Title/Role in Related company	Related Company Name	Related Company Address

Note: In case of more than 4, please attach a list of names and ID/Passport number of all additional directors

SUBCONTRACTORS

Name	Main activities

Name	Main activities

4. FINANCIAL INFORMATION

4.1. FINANCIAL STATEMENT DETAILS

- Royalty payments for 2022:
- 2022 Annual Financial Statements (please provide a copy):

Currency	XX local Currency	Last financial year	Previous year

- b. Share capital/value of social shares:
- c. Total shareholders' Equity:
- d. List of most valuable goods:
- e. List of debts:
- f. Operating costs:
- g. Indicate names of stock exchanges (if listed):
- h. Name of external financial auditors:
- i. Attached the organizational chart of the company/group:
- j. Total sales:
- k. Income before tax:
- l. Net income:
- m. Additional information:

4.2. OTHER FINANCIAL INFORMATION

- **Source of operations funding:**
 - Own funds:
 - Own equity:
 - Government entity, (name them):
 - Third party loan (name them):
 - Donation (name them):
- **What usual payment method does the company use to pay its suppliers?**
 - % of bank transfers:
 - % Mobile money:
 - % of checks:
 - % cash
- **Financial Institution**
 - Name:
 - Address:
 - Account Number/IBAN Number:
 - Account Name:
 - Correspondent Bank:
 - Branch Telephone Number:
 - Code Swift:
 - Beneficiary Bank AC:
 - Address:
 - Other information:

5. HUMAN RESOURCES

1. Number of employees within the company:
2. Number of employees within the Group:

6. SUPPLIERS

- **What kind of information does the company ask its mineral suppliers?**
- Each supplier's information for XX is captured on Minexx Platform.
- Answer with Yes, No, and NA

Entity (check relevant box)		Individual	
Name		Name and surname	
Addres		Address	

Entity (check relevant box)		Individual	
Creation date		Date of birth	
Country of incorporation		Nationality	
Types of business <ul style="list-style-type: none"> • Mine operator, • Processing centre, • Trader • Other 		Copy of identity card or passport	
Extract from the commercial register or equivalent document		Beneficial owners	
Beneficial owners		Origin of precious metals	
Materials that are supplied (Ta, Nb, Sn, W, Au, Co, Cu, Mn, Li, Be, Fe, Pb, Gemstones, Others)		Supplier profile (activity, assets, etc.)	
Origin of precious metals		Other information	
Exclusivity of the production/supply			
Description of the main activity & financial information			
Other information			

Note: Kindly check Minexx checklist of required due diligence documents

LIST OF MAIN SUPPLIERS			
#	NAME	TYPE OF MATERIALS	ESTIMATED VOLUME TO BE SUPPLIED
1			
2			
3			
4			
5			

LIST OF MAIN SUPPLIERS			
6			
7			
8			

7. EXPORT OF MATERIALS

EXPORT DETAILS	
Country of origin	
Type of materials to send to refinery	
Metals	
Precious Stones	
Quantity	
Export frequency	
Export date	
Nature/form/purity (in %)	
Destination country	
Transit country	
Buyer name	
Legal agreement	
Start – End Date of agreement	
Logistics company name	
Legal agreement: Start and End Date	
Collection and disclosure of all export documentation to relevant stakeholders	
Other information	

EXPORT DETAILS

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8. RESPONSIBLE SOURCING OF MINERALS AND ENVIRONMENT COMPLIANCE

A. SUPPLY CHAIN POLICY AND SOURCING STANDARDS AND PRACTICES

POLICIES, STANDARDS AND PRACTICES	COMMENTS
Does your company have in place and implement its responsible supply chain policy for conflict-affected and high-risk areas which is consistent with 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? <u>OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf</u> Provide a copy	
Does your company comply or plan to comply with the OECD Due Diligence Guidance for Responsible Supply Chains for Minerals from Conflict-Affected and High-Risk Areas?	
Does your company comply with any of the following sourcing initiatives? <ol style="list-style-type: none"> 1. Minexx Platform 2. ICGLR - RCM 3. CRAFT Code 4. WGC Conflict Free Gold standards and CoC 5. Fair Trade and Mined Standard 6. RMI - RMAP 7. Other If yes, which one(s): Since when?	
Does your company have in place and implement procedures to ensure sourced metals have not financed conflict? If yes, please provide a copy	
Have your company conducted an enhanced mine site level risk assessment on all its suppliers of precious metal (from low, medium or high risks)? If yes, <ul style="list-style-type: none"> • when was the last visits? 	

<ul style="list-style-type: none"> • Provide copies of assessments reports • Any information 	
<p>Are your company's top leadership and designated responsible sourcing teams aware of incidents related to any of the following issues occurring during the sourcing process (mine site, washing sites, transport, storage, export, etc.)?</p> <ol style="list-style-type: none"> 1. Child labour 2. Human rights abuses 3. Direct or indirect support to armed groups, public or private security forces 4. Bribery and fraudulent representation of the origin of the minerals 5. Money laundering 6. Non-payment of taxes, fees and royalties due to governments <p>Life threatening occupational health and safety conditions</p>	
Does your company require its mine suppliers to have procedures and system in place to ensure Organizational, Health and Safety (OHS) are implemented in their operations?	
Does your company verify if its mine sites you source from engage with affected local communities and support livelihood and social development?	
Do you verify if there are comprehensive procedures and systems at the mine sites you source from to avoid negative impact to the environment?	
Does your company have a designated and qualified due diligence officer?	
Other information	
In case of a NO answer to any of the above questions, please clarify:	
B. ANTI MONEY LAUNDERING (AML) COMBATING THE FINANCIING OF TERRORISM (CFT) BRICERY	
POLICIES AND PROCESS	COMMENTS

Is your company subject to Anti-Money Laundering/Combating the financing of terrorism Law/Regulation? If the answer is No, go to next relevant questions	
What's the name AML-CFT Law/Regulation?	
What's the regulator name?	
Did your company establish a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards? <i>If yes, please provide a copy</i>	
Does your company have in place and implemented systems for the identification of its customers and record keeping of customer data in line with FATF/FICA standards, including customer information in the case of recorded transactions, account opening, etc. (i.e. name, nationality, address, telephone number, occupation, date of birth, number and type of valid official ID, expiry date, as well as the name of the country that issued it)?	
If the answer is No, does your company follow local KYC instructions? Please provide details on them:	
Do your company use a bank that implements systems for the identification of its customers and record keeping of customers' data in line with FATF/FICA standards, including customer's information in the case of recorded transaction, account opening, etc.? If the answer is No, please explain	
Does your Company have in place and implement a bribery policy? <i>If yes, please provide a copy</i>	
Have one or more members of your company Senior Management ever been charged or investigated anywhere in the world for inciting political unrest? <i>If yes, please provide details</i>	

Is any of the Senior Management members part of an official political party / a family member of a running candidate / a family member of current government official? <i>If yes, please provide details</i>	
Is any of the Senior Management members part of an official political party / a family member of a running candidate / a family member of current government official? <i>If yes, please provide details</i>	
Does your company have a designated and qualified compliance officer?	
Other information	
C. ENVIRONMENT COMPLIANCE	
Does your company have need to comply with detailed health and safety regulations in the country/province of operations? <i>Please explain:</i>	
Does your company subject to detailed environmental regulations in the country/province of operations? <i>Please explain:</i>	
Does your company verify your mine suppliers' compliance to detailed environmental regulations in their country/province of operations? <i>Please explain:</i>	
Are public security forces present on or around the mine sites you procure minerals from? If yes, please <ul style="list-style-type: none"> a. names the sites b. location c. their main activities d. other information 	
Other information:	

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SIGNATURES		
I/we hereby declare that the information given above is true and accurate as of the date of writing. I/we undertake to automatically and promptly inform Minexx Limited of any material changes.		
	<i>Authorized signatory</i>	<i>Authorized signatory</i>
<i>Signature</i>		
<i>Print name of authorized person:</i>		
<i>Title:</i>		
<i>Company Name:</i>		
<i>Date and Location:</i>		