

MINEXX

MineSmart KYC on Boarding Questionnaire

KYC steps

- **Know Your Customer form and documents (Kindly see the list below) for onboarding of local gold trading/supplier and mining entities to Minexx Traceability Platform.**
- **These documents are to be posted on the Minexx Traceability Platform.**
Minexx team is at your disposal to answer any questions you may have.

Commitments: Please read the full documents and make sure you understand them before we on board you on Minexx Traceability Platform and start implementing Minexx Trace at mine site level.

- 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/files/2013/01/DMCC-Practical-Guidance-for-Responsible-Supply-Chain.pdf>

CHECKLIST OF SUPPLIER ENTITY KYC DOCUMENTS

Statutes of the company



Certificate of Incorporation



Certificate of conformity



List of Signing Authority and Beneficial Owners



Tax Register



Commercial register/ Extract from the business register



Trade permit for trade and export of precious metals



Latest financial and audit reports



Company Policies and Procedures: (Anti-Money Laundering and Countering the Financing of Terrorism Policy, Responsible Gold Supply Chain Policy, etc.)



Proof of copy of the identity card of all owners, shareholders and funders.



Bank Reference Letter



Invoice for utilities for Business Address (telephone, electricity, etc...)



International Compliance Forms (to be provided by Minexx)



Draft or To be Obtained prior to shipment



Completed



Not Available



Missing



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 Tax Identification/Registration Number:
- 1.9 Website:
- 1.10 External financial auditors since
- 1.11 # of direct and indirect subsidiaries
- 1.12 Organizational chart of the group /

Bank details

- Account Name:
- Bank Name:
- Bank address:
- Code Swift:
- IBAN:
- Account number:
- Correspondent Bank: -
- Address:
- Code Swift:
- Beneficiary Bank AC: -

List of approved traders

- Name:
- Designation:
- Email:
- Telephone:
- E-mail from the Dealing Desk: /
- Back Office E-mail: /
- Transaction confirmations emails:

2. BENEFICIAL OWNERS

- SHAREHOLDER(S) (MORE THAN 25%)

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

- ULTIMATE BENEFICIAL OWNER (MORE THAN 25% - NATURAL PERSON ONLY)

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

3. MANAGEMENT STRUCTURE

Name	Title	Nationality	Date of birth/ incorporation	Shareholding

4. FINANCIAL INFORMATION

4.1 FINANCIAL STATEMENT DETAILS

- Royalty payments for 2021 are available on Minexx Traceability Platform
- 2021 Annual Financial Statements are available on Minexx Traceability Platform

Currency	XX local Currency	Last financial year	Previous year

4.2 OTHER FINANCIAL INFORMATION

- Source of funding for mining: Own equity
- What usual payment method does the company use to pay its suppliers?

Payment type Percentage (%) for:	
Bank transfers	
Mobile Money	
Cash	

What kind of information does the company ask its mineral suppliers?

- All suppliers' information for XX is captured on Minexx Traceability Platform

Enterprise		Individual	
Company Name		Name and surname	
Address		Address	
Creation date		Date of birth	
Country of incorporation		Nationality	
Extract from the commercial register or equivalent document		Copy of identity card or passport	
Beneficial owners		Beneficial owners	
Origin of precious metals		Origin of precious metals	
Description of the main activity & financial information		Supplier profile (activity, assets, etc.)	

Does the company have a risk assessment of its suppliers of precious metal suppliers (e.g. low, medium or high risks)?	
Does the Company verify suppliers of precious metals and transactions against lists of persons, entities or countries issued by governmental/competent authorities?	
Does the company carry out enhanced due diligence for suppliers of high-risk precious metals suppliers?	
Does the Company assess the AML/CFT and procurement procedures and practices of its precious metal suppliers?	

5. HUMAN RESOURCES

- Number of employees within the company:
- Number of employees within the Group: -

6. HARDWARE

- What type of minerals does the company plan to send for refining?

Minerals	Precious Metals	3T
	Gold	
	Silver	
	Platinum	

- Other, please specify:
- What is the shape of the precious metals that the company plans to export?

Gold concentrate	
Concentrated silver	
Gold ore	
Silver ore	
Mining by-product	
Other, please specify:	

7. TYPE OF COMMERCIAL ACTIVITY

- Type of activity

Large scale mine (>100,000 Oz/year)	
Medium scale mine (30-100'000 Oz/year)	
Small scale mine (<30'000 Oz/year)	

- Description of the main activity

- In which country do you refine your precious metals? Tick and or add relevant countries

1. Switzerland?
2. Dubai?
3. Italy?
4. Belgium?
5. France?
6. China?
7. India?

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:</i>		
<i>Title:</i>		
<i>Company Name:</i>		
<i>Date and Location:</i>		