



**AURUM METALS**  
*A division of the Aurum Group.*

# ACCOUNT OPENING FORM

## REQUIRED DOCUMENTS

All documents required as ORIGINAL COPY can be submitted as scanned copy first for initial review by the Compliance Department. You will be advised when to submit the original documents.

- A. Account Opening form (ORIGINAL COPY)**
- B. Trade License**
- C. Memorandum and Article of Association / Share Register**
- D. Passport copies of all beneficial owners of the company (regardless if they will not operate your account)  
Passport copies of all authorized signatories declared to operate on this account.**
- E. Personal Utility Bill (i.e. water bill, electric bill, bank detail, lease agreement or any other document showing home address)**
- F. For scrap jewellery and/or pure gold supply chain customers, please submit the following:**
  - **Sample of Invoices (at least 2-3) showing the purchased date and country of origin**
    - should be dated at least 1 year from the date of this application
    - should submit for each country of origin
  - **Source of Gold statement (sample format will be sent upon request)**
- G. For Dore (mine originated) bars supply chain customers, please submit the following:**
  - **G(1) If you receive gold from a mine supplier/owner**
    - Supplier's trade license
    - Supplier's Export License
    - Supplier's Memorandum and Article of Association
    - Mine owner's Mining License (from which mine the gold come from)
    - Supplier's passport copies (all beneficial owners mentioned on MOA)
  - **G(2) If you are a mine owner**
    - Mining License
    - Passport copy of mine owner

### IMPORTANT NOTICES:

- We only accept documents in English and Arabic. Documents in other languages should be translated by a notary public.
- These are the initial required documents, other documents might be requested accordingly if necessary.
- Agreements/Contracts will be sent after compliance department has approved your application.
- Account Opening form is available from our website, [www.aulion.co.za](http://www.aulion.co.za)
- For more assistance/questions regarding your application, please contact our CRM department via email [sales@aulion.ae](mailto:sales@aulion.ae) or call +971 56 988 5364/5215



## A. GENERAL INFORMATION

**Company Name:**

*(as per Trade License)*

**Country of  
Establishment:**

**Year of  
Incorporation:**

**Beneficial Owner:**

*(Authorized Signatory No 1)*

**Beneficial Owner:**

*(Authorized Signatory No 2)*

**Beneficial Owner:**

*(Authorized Signatory No 3)*

**Office Address:**

*(Office No, Floor No, Building,  
Street, City, PO Box)*

**Tel No:**

**Fax No:**

**Cell No:**

**Email:**

*(Mandatory)*

**Source of Wealth  
by the company/  
firm:**

**Do you have a company policy?**  
*(If yes, please provide us a copy for our reference)*

**YES**

**NO**

**List of other  
business activities:**

### **BANK DETAILS** *(for payment purposes only)*

Please note that Aulion Global Trading DMCC does not provide THIRD PARTY PAYMENT for any of our clients

**Bank Name:**

**Bank Address:**

**No of Year(s)  
with bank:**

**Beneficiary Name:**

**Beneficiary  
Address:**

**Account No:**

As the Beneficial Owner and/or Authorized Signatory, I hereby warrant that the information above is to the best of my knowledge and all facts stated are accurate.

**Authorized Signature:**

\*Personal information is for 3 individuals only. If there are more than 3, please print another copy of this page accordingly.

## B. PERSONAL INFORMATION

### BENEFICIAL OWNER / AUTHORIZED SIGNATORY № 1

Complete Name: \_\_\_\_\_ Mr. Ms. Mrs.

Nationality: \_\_\_\_\_ Beneficial Owner Authorized Signatory Both

Email: \_\_\_\_\_  
(Mandatory)

Date of Birth: \_\_\_\_\_ Current Address: \_\_\_\_\_

Cell No: \_\_\_\_\_

Source of Wealth: (Net worth) Business Salary Inheritance/Gift Investment Income  
Other (please specify): \_\_\_\_\_ Estimated Total Net Worth (AED): \_\_\_\_\_

### BENEFICIAL OWNER / AUTHORIZED SIGNATORY № 2

Complete Name: \_\_\_\_\_ Mr. Ms. Mrs.

Nationality: \_\_\_\_\_ Beneficial Owner Authorized Signatory Both

Email: \_\_\_\_\_  
(Mandatory)

Date of Birth: \_\_\_\_\_ Current Address: \_\_\_\_\_

Cell No: \_\_\_\_\_

Source of Wealth: (Net worth) Business Salary Inheritance/Gift Investment Income  
Other (please specify): \_\_\_\_\_ Estimated Total Net Worth (AED): \_\_\_\_\_

### BENEFICIAL OWNER / AUTHORIZED SIGNATORY № 3

Complete Name: \_\_\_\_\_ Mr. Ms. Mrs.

Nationality: \_\_\_\_\_ Beneficial Owner Authorized Signatory Both

Email: \_\_\_\_\_  
(Mandatory)

Date of Birth: \_\_\_\_\_ Current Address: \_\_\_\_\_

Cell No: \_\_\_\_\_

Source of Wealth: (Net worth) Business Salary Inheritance/Gift Investment Income  
Other (please specify): \_\_\_\_\_ Estimated Total Net Worth (AED): \_\_\_\_\_

Authorized Signature: \_\_\_\_\_

## C. PROPOSED BUSINESS DETAILS

### PHYSICAL BUSINESS

|   |  |                 |                                      |
|---|--|-----------------|--------------------------------------|
| <b>Refining Services</b>  | <b>Gold</b>                            | <b>Silver</b>   | <b>Other (please specify):</b> _____ |
| <b>Scrap Bar Trading</b><br><i>(originating from jewellery)</i> | <b>Country of Origin:</b>              |                 | <b>Expected Purity:</b>              |
| <b>Dore</b><br><i>(originating from Mine)</i>                   | <b>Country of Origin:</b>              |                 | <b>Supplier's Name:</b>              |
|   | <b>Country of Origin:</b>              |                 | <b>Supplier's Name:</b>              |
|   | <b>Pure Bars</b><br><i>(995/999.9)</i> | <b>Purchase</b> | <b>Sales</b>                         |

### EXPECTED QUANTITY PER DELIVERY/PICKUP:

|                     |                     |                                      |
|---------------------|---------------------|--------------------------------------|
| <b>Gold</b>         | <b>Silver</b>       | <b>Other (please specify):</b> _____ |
| <b>Weekly (kg)</b>  | <b>Weekly (kg)</b>  | <b>Weekly (kg)</b>                   |
| <b>Monthly (kg)</b> | <b>Monthly (kg)</b> | <b>Monthly (kg)</b>                  |

**Type of Delivery:**      **Cargo**      **Hand-Carry**      **Both**

**List of companies previously dealt with:**

**Company Name:** \_\_\_\_\_ **Country:** \_\_\_\_\_

**Company Name:** \_\_\_\_\_ **Country:** \_\_\_\_\_

**Trading Business**

**Precious Metals and FX Trading**

## D. SUPPLY CHAIN PROCEDURE

Please describe your supply chain procedure and/or policy for verifying the source of metal:

What is your policy regarding Anti Money Laundering and Combating Financial Terrorism?

Do you keep records of companies that you usually buy metals from?      **YES**      **NO**

If yes, please choose from the following and please provide a sample of KYC forms:

**Passport Copy**      **Mining License**      **Other (please specify):** \_\_\_\_\_

As the Beneficial Owner and/or Authorized Signatory, I hereby warrant that the information above is to the best of my knowledge and all facts stated are accurate.

**Authorized Signature:**



## E. SPECIMEN SIGNATURE

Please affix the signature for each Beneficial Owner/Signatory

### **BENEFICIAL OWNER / AUTHORIZED SIGNATORY No 1**

**Name:**

**Signature:**

### **BENEFICIAL OWNER / AUTHORIZED SIGNATORY No 2**

**Name:**

**Signature:**

### **BENEFICIAL OWNER / AUTHORIZED SIGNATORY No 3**

**Name:**

**Signature:**

## F. DECLARATION

### **SOURCE OF FUNDS AND EQUITIES**

The undersigned hereby warrants to Aulion Global Trading DMCC that the Metals/Funds to be delivered to Aulion Global Trading DMCC for treatment or trading have been procured through legal means and have been acquired from legitimate sources not involved in funding conflict or incompliance with any United Nations sanctions, resolutions, or human rights violations. To the best of my knowledge, I the undersigned hereby guarantees that these Metals are conflict-free, free from child labor, and have been sourced through proper channels.

### **SOURCE OF METALS**

I the undersigned agree that all documents (actual invoice, custom's paper, airway bill) regarding the origin of the metal will be declared to Aulion Global Trading DMCC. This is part of the policies and procedures implemented by the compliance department and in line with DMCC and OECD's Guidance for Responsible Supply Chain. In case of any future changes with the origin of my precious metal, I agree to advise the company beforehand and to provide supporting documents prior to sending any delivery/shipment. Upon having my account, I will be responsible to update my files and submit any documents that are necessary for the compliance team.

**Company  
Name:**

**Beneficial Owner/  
Authorized Person:**

**Authorized Signature:**

**Date:**

**Company Stamp:**