AL RAFIDAIN JEWELLERY TRADING LLC

KYC FORM - LEGAL ENTITY

Company Name			
Corporate Registration No:			
Type:	☐ Customer	☐ Supplier	☐ Both

CUSTOMER INFORMATION	
UID No (For Office Use Only)	
Full Legal Name As per license	
Trade Name	
No of Subsidiaries, Branches (if any specify countries)	
Registered Address	
Business Address	
Telephone Number	
Registered Mobile Number	
Registered Email Address	
Website	
Trade License Number	
License Issuing Authority	
Legal Form	☐Partnership ☐ Sole Establishment ☐ LLC ☐ Public Limited Co ☐ Other, Please Specify_______________
Issue Date	
Expiry Date	
Country of Incorporation	
Date of Incorporation	
Years in Business	
Business Activity	
Countries of Operation	
Main Products	
VAT Certificate Number	

DETAILS OF OWNERSHIP STRUCTURE – SHAREHOLDERS' DETAILS					
Percentage Holding (%)	Type of Shareholder	Name	Address	Country of Incorporation / Nationality	Date of Incorporation/ Birth
	☐ Natural Person ☐ Legal Entity				
	☐ Natural Person ☐ Legal Entity				
	☐ Natural Person ☐ Legal Entity				
	☐ Natural Person ☐ Legal Entity				

ULTIMATE BENEFICIAL OWNERS				
Percentage Holding (%)	Name	Address	Nationality	Passport/Emirates ID Number

AUTHORIZED SIGNATORIES				
Job Title	Name	Address	Nationality	Passport/Emirates ID Number

AUTHORIZED REPRESENTATIVES				
Job Title	Name	Address	Nationality	Passport/Emirates ID Number

BANK DETAILS (Note: We do not accept or make payments to third parties)			
Bank Name		Country	
Town/City		BIC/SWIFT	
Account Name			
Account Number			
IBAN			
Currency of Account			

SOURCE OF FUNDS AND WEALTH	
Source of wealth	☐ Business Proceeds ☐ Funds from shareholders ☐ Employment ☐ Inheritance ☐ Others (pleasespecify)
Source of funds	☐ Business Proceeds ☐ Funds from shareholders ☐ Employment ☐ Inheritance ☐ Others (pleasespecify)

PEP DECLARATION			YES	NO
1	Are there any PEPs involved in the ownership or management of this entity?			
Person’s Name				
Person’s Position				
2	Are any of the shareholder / beneficial owner / key managerial person related to a PEP?			

AML - KYC QUESTIONNAIRE		
a.	Is your company subject to Anti-Money Laundering/Combating the Financing of Terrorism Law?	☐ Yes ☐ No
b.	Name of the Regulator	
c.	Name of the AML-CFT Law/ Regulation?	
d.	Did your establishment sign up to the goAML system of the FIU?	☐ Yes ☐ No
e.	Has your company established a conformity program that contains AML/CFT policies and procedures according to internal & international laws, rules, and standards?	☐ Yes – Please provide a copy ☐ No
f.	Does your company have written policies and procedures to combat Money Laundering and Terrorist Financing?	☐ Yes – Please provide a copy ☐ No
g.	Is the senior management approved AML/CFT policies & procedures?	☐ Yes ☐ No
h.	Does your company have an ABC policy in place?	☐ Yes – Please provide a copy ☐ No
i.	Does the Company have a designated person responsible for all AML-CFT matters (Due Diligence, AML Policies, internal training)? If yes, please provide us with his/her details as below:	Name: Contact Number: Email: Address:
j.	Does the company perform screening (i.e. Adverse media, Money laundering, Sanctions, Politically Exposed Person ‘PEP’) on its counterparties?	☐ Yes ☐ No
k.	Does your organization have procedures to establish a record for each new customer noting their respective identification documents and KYC Information?	☐ Yes ☐ No

l.	Does your company provide training to the employees on AML & CFT?	☐ Yes ☐ No
m.	Does your company perform a risk-based assessment for the customers? (high, medium, low)	☐ Yes ☐ No
n.	Does your company perform enhanced due diligence for your high-risk customers?	☐ Yes ☐ No
o.	Does your company have an established Employee Training Program to educate employees about AML/CFT laws, regulations, and international best practices.	☐ Yes ☐ No
p.	Does your company have an established method of reporting suspicious activities/ transactions?	☐ Yes ☐ No
q.	Does your company keep records?	☐ Yes, ____________ Years ☐ No
r.	Does your Company have a monitoring program for unusual and potentially suspicious activity?	☐ Yes ☐ No
s.	Does your Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to the relevant Authority?	☐ Yes ☐ No
t.	What information do you collect to verify the legitimacy of your clients?	☐ Company Details (name, address, etc.) ☐ Registration Documents ☐ Ultimate beneficial ownership including ID/Passport copies of owners Business, activity, and financial details ☐ Trade/export License ☐ Assess AML/CFT of suppliers ☐ Others (please specify)
w.	Does your company or the Senior Management/owners/UBO ever been charged anywhere in the world for violation of applicable Anti-bribery Laws or AML/CFT Laws and Regulations?	☐ Yes – Please provide a copy ☐ No

EXPECTED BUSINESS ACTIVITIES	
Expected value of transactions (Amount in AED)	Annually ___________
Expected volume of transactions (Number)	Monthly ___________
Frequency of the transaction	☐ Daily ☐ Weekly ☐ Monthly
Mode of Payment (with Percentage):	☐ Bank Transfer _____% ☐ Cheque _____% ☐ Cash _____%

Declarations

Source of Fund Declaration

I/We understand that, in order to register with **Al Rafidain Jewellery Trading LLC**, I/we am/are required to declare the source of funds and/or precious metals used for this application.
I/We acknowledge and am/are aware of the legal requirements under **Federal Decree-Law No. (10) of 2025 on Anti-Money Laundering** and **Cabinet Decision No. (134) of 2025**, as amended from time to time.
I/We hereby confirm that all funds and/or precious metals held by me/us are derived from lawful and legitimate sources, and I/we undertake to provide supporting documentation or evidence upon request. I/We further confirm that such funds and/or precious metals do not originate from, nor are they connected to, any sanctioned country, entity, or individual listed by the United Nations or any other relevant international or local authority.
I/We affirm that I/we fully comply with all applicable local and international laws and regulations, including those governing the trade of precious metals and United Nations Security Council (UNSC) sanctions. I/We further confirm that the precious metals held by me/us are not associated with conflict financing, criminal activities, child labor, or any form of human rights violations.
I/We declare that all information provided in connection with this declaration is true, complete, and accurate to the best of my/our knowledge. I/We undertake to promptly notify **Al Rafidain Jewellery Trading LLC** in writing of any changes to the information provided herein.

Declaration of Politically Exposed Person (PEP) Status

We confirm that, to the best of our knowledge, we (owners/partners/shareholders) are not Politically Exposed Persons (PEPs) as defined by the applicable laws and regulations. We have not held any prominent public positions, such as government officials, heads of state, or senior political party members, in our home country or any other jurisdiction.

We also confirm that none of our immediate family members or close associates are considered PEPs.
We understand the importance of integrity and transparency in financial transactions and assure that all funds and activities with **Al Rafidain Jewellery Trading LLC** will comply with all relevant laws and regulations.
If our PEP status changes in the future, we will promptly inform **Al Rafidain Jewellery Trading LLC** to meet any new compliance requirements.

OECD Declaration

We confirm our compliance with the OECD Due Diligence Guidelines for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. We are committed to conducting our business ethically and responsibly, following the principles and standards set by the OECD.
We have established a strong supply chain policy that includes due diligence measures, risk assessment procedures, and ongoing monitoring to prevent any dealings with conflict-affected or high-risk areas.
We also confirm our full compliance with international and domestic laws, including those on the illicit trade in minerals and United Nations sanctions. Our supply chain practices are aligned with these legal frameworks.

Sanction Declaration

We confirm that neither our company nor any of our related parties, subsidiaries, or branches are involved in dealings with countries sanctioned by the Financial Action Task Force (FATF) or the Office of Foreign Assets Control (OFAC). We do not own, control, or act as agents for any government or entity listed on a sanctions list or based in a sanctioned country.

We also confirm that neither we nor any key individuals acting on our behalf have any affiliations with nationals or residents of sanctioned countries. Our business has not previously dealt with, and will not engage with, any sanctioned countries or entities. We are committed to complying with all economic and financial sanctions and trade embargoes imposed by the United Arab Emirates (UAE), United Nations (UN), United States (US), European Union (EU), United Kingdom (UK), and other relevant authorities. All our financial transactions follow applicable laws and regulations, and we are dedicated to maintaining the highest ethical standards in our business operations.
We hereby declare the above information to be true and accurate to the best of our knowledge.

DOCUMENTS CHECKLIST	
Trade License copy	
Certificate of Incorporation copy	
Membership Certificate	
Tenancy Contract/Utility Bill	
VAT Certificate	
Memorandum of Association/Articles of Association	
Power of Attorney	
Ownership Structure	
For Sponsor (Passport & Emirates ID) copy	
For Owner/partner/shareholder (Passport, Visa and Emirates ID) copy	
For Authorized Signatories (Passport, visa, and Emirates ID) copy	
For Authorized Representatives (Passport, visa and Emirates IDs)	
Source of Fund (ex. Bank statement)	
Organization chart	

Authorized Person Name	
Designation	
Signature	
Date	
Company Stamp	

For Office Use Only

Compliance Department Remarks

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Approved : ☐ Yes ☐ No

Compliance Officer Name: Signature:

SENIOR MANAGEMENT APPROVAL STATUS: ☐ Yes ☐ No

Name: Signature:

Designation: Stamp:

Date: