

ALEKS METAL RAFİNERİ ANONİM ŞİRKETİ

NECESSARY DOCUMENTS FOR ACCOUNT OPENING CLIENT ACCEPTANCE and OVERVIEW PROCEDURE

* If the beneficial owner is different from the customer, the following documents should also be provided by the beneficial owner.
** In case of any change in the documents or information, ALEKS METAL REFINERY A.Ş. should be informed immediately.
*** Additional information may be requested when necessary.

1.	Copy of Articles of Association
2.	Certificate of Trade Registry (taken within the last three months)
3.	Copy of Chamber Certificate of Activity
4.	Copy of Letter of Authorized Signatures / Statement of Signature
5.	Copy of Tax Registration Certificate
6.	Copy of Identity Card/Passport (of Authorized Persons and Members of the Board of Directors in the Letter of Authorized Signatures)
7.	Business License (Municipality, Mine etc.)
8.	Copy of Any of Electricity, Water, Natural Gas, Telephone Bills Belonging to Last Month
9.	Refinery Declaration Letter of ALEKS METAL RAFİNERİ A.Ş. (Annex 1)
10.	Know Your Customer Form (Annex 2)
11.	Ultimate Beneficial Owner form (Annex 3)
12.	Information about Real Person(s) Authorized to Carry out Transactions on behalf of the Customers together with ALEKS METAL RAFİNERİ A.Ş. (Annex 4)
13.	Know Your Customer Statement for Institutions (Annex 5)
14.	Customer Compliance Agreement Form (Annex 6)
15.	Gold-Silver Source-Origin Information Form (Annex 7)

Please contact compliance@aleksmetal.com for sending questions and/or documents.

Aleks Metal Rafineri A.Ş.

İkitelli OSB Mh. Marmara Sk. P Blok, No:11 Küçükçekmece,
34490, İstanbul, Türkiye

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ANNEX 1

DECLARATION

The customer/beneficial owner declares that it is the beneficiary of the goods to be delivered to Aleks Metal Rafineri A.Ş.,

- That is the beneficiary or if it is not beneficiary, the information of the beneficiary (*name/company name, address, country/nationality*) is authentic,
- That its funds are held in the bank and that its companies are not subjected to any sanction of the United Nations Security Council directly or indirectly and that it does not violate any sanction of the United Nations Security Council and does not violate any judicial anti-money laundering laws in the world and that such funds are not related to sanctions imposed by official resolutions of the United Nations Security Council and that it buys such goods from persons who prove that they are the legitimate owners of the goods;
- That it has not financed conflicts in any part of the supply chain, has not been involved in violations of human rights, money laundering and terrorist financing, has not supported non-state armed groups or public and private security forces, has received the country of origin of these goods in accordance with the relevant legislation, has not made false statements about origin,
- That it is complied with the OECD Gold Procurement and the OECD's Due Diligence Guide for Responsible Procurement of Minerals from Conflict-Affected and High-Risk Areas, and the LBMA Responsible Gold Guide, it is not a party to systematic or general human rights violations in the extraction, transportation or trade of gold,
- That it has fulfilled the practices specified for the obligations of the Financial Crimes Investigation Board (MASAK) and kept the records related to the subject within the legal processes,
- That all measures have been taken that prevent the acceptance of goods obtained through or in connection with criminal activity or that provide funds for, cover up or support criminal activities,
- That it has applied customer recognition KYC (Know Your Customer) procedures and it has fulfilled all declarations regarding these procedures and it has kept records related to the subject within the legal processes,
- That it has accepted goods in accordance with the relevant laws of the country in which it is located; it does not use child labor to carry out any service or business; it is in compliance with the relevant environmental regulations and it has fulfilled all legal provisions regarding the protection and sustainable development of the environment,
- That you will be informed if there are politically exposed persons (PEP) in the partnership structure of the company in addition to the measures required by the principle of know your customer,
- That we have fulfilled the policies and procedures related to child labor,
- That it has not offered, promised or given, directly or through intermediaries, any unlawful gain or bribe to a foreign government official or private sector employee in order to obtain any profit or business;
- That in case of a legal entity, the customer/beneficiary has made this present declaration on behalf of all its shareholders, members of the board of directors, workers and representatives and shall undertake to carry out all activities within the scope of this declaration and shall comply with these principles and ensure that its suppliers, consultants, customers and other partners comply with these principles and shall inform ALEKS METAL RAFİNERİ A.Ş. in case of any changes to this declaration.

In case any of the above statements are found to be false, the Customer/Beneficiary agrees and undertakes that it shall pay the direct or indirect losses and damages of ALEKS METAL RAFİNERİ A.Ş. arising therefrom and that the responsibility belongs only to it.

Authorized Signature

Name and Title:

Date:

Seal and Signature:

Aleks Metal Rafineri A.Ş.

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ANNEX 2

KNOW YOUR CUSTOMER FORM		
Company name	:	
Type of Company	:	
Work Start Date	:	
Tax Office and Tax Number	:	
Correspondence Address	:	
Registered Company Address (If Different From Above)	:	
Names, Identity Card/Passport Numbers, Addresses of Company Partners	:	
Phone Number	:	
Fax	:	
E-Mail	:	
Web address	:	
Banka Account Details	:	
Refinery Name, Stamp & Logo	:	

ANNEX 3**ULTIMATE BENEFICIAL OWNER FORM**

Person(s) controlling the company: (Those who have voting rights or capital shares)

Name Surname/Title of Partners	:	
ID/Passport Number	:	
Partnetship Rate (%)	:	
Right to vote (%)	:	
Father's Name	:	
Mother's Name	:	
Birth place	:	
Address	:	

Name Surname/Title of Partners	:	
ID/Passport Number	:	
Partnetship Rate (%)	:	
Right to vote (%)	:	
Father's Name	:	
Mother's Name	:	
Birth place	:	
Address	:	

Name Surname/Title of Partners	:	
ID/Passport Number	:	
Partnetship Rate (%)	:	
Right to vote (%)	:	
Father's Name	:	
Mother's Name	:	
Birth place	:	
Address	:	

Documents to be submitted:

Documents of partners with shares exceeding 25%:

- Copy of ID if it is a real person
- If it is a legal person, copies of the Trade Registry Gazette, Tax Plate, Certificate of Activity, Circular of Signature and approved documents showing the partnership structure

We accept, declare and undertake that the above-mentioned information is correct, that it has been communicated in accordance with the regulations of the Personal Data Protection Law, and in case of any change, you will be notified immediately of the relevant change.

Authorized Signature

Date /Seal/ Signature

Name/Title

Aleks Metal Rafineri A.Ş.

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ANNEX 4**Information about Real Person(s) Authorized to Carry out Transactions on behalf of the Customers together with Aleks Metal Rafineri A.Ş.**

	Name Surname	Identity No /Passport No	Address	E-mail	Phone/ Mobile Phone Number	Signature	Copy of Passport Including Photograph (*please deliver it as an attachment)
1							
2							
3							
4							

Authorizer's Identity / Address Details**Tax Identification Number:****Name Surname Title** :**Phone Number** :**Address** :**Electronic Mail Address** :

- 1- The person(s) with above written identity details has/have been authorized to make transactions regarding our company current account with your company.
- 2- I hereby agree and undertake that the above written information is complete and accurate,
- 3- That transactions made by the real or legal entity with above written identity details authorized by us have been made on behalf of our company or institution,
- 4- That in case of any change in the above declared information, information shall be provided to ALEKS METAL RAFİNERİ A.Ş. within 1 (one) business day,
- 5- That I shall not hold ALEKS METAL RAFİNERİ A.Ş. responsible for any damages, losses etc. which may arise on behalf of myself/our institution as a result of the transactions made by the person or persons authorized above.

Title (Seal-Signature)**Aleks Metal Rafineri A.Ş.**İkitelli OSB Mh. Marmara Şk. P Blok, No:11 Küçükçekmece,
34490, İstanbul, Türkiyealeksmetal.com

ANNEX 5

To the Attention of Aleks Metal Rafineri A.Ş.
compliance@aleksmetal.com

Know Your Customer Statement for Institutions**1. General Anti-Money Laundering policies, practices and procedures:**

Our enterprise/institution has clearly determined written policies and procedures prepared to combat money laundering and terrorist financing according to local and international laws related to AML and these policies apply to all our branches, affiliates and operations ☐ yes ☐ no
(If your answer is yes, please attach your written policies on Money Laundering and Terrorist Financing)

2. Know your customer system and Gold Supply Chain Due Diligence procedures:

Our enterprise/institution implements a customer recognition system and customer Gold Supply Chain Due Diligence procedures and related processes to recognize customers/suppliers with whom it has commercial relations. (If your answer is yes, please attach your Customer Acceptance Policy) ☐ yes ☐ no

3. Our enterprise/institution is regularly audited by independent auditors in these subjects. (If your answer is yes, please attach the independent audit report for the last year) ☐ yes ☐ no

4. Responsible gold procedures

Our enterprise/institution has established Gold Supply Chain policies and procedures based on OECD/LBMA/DMCC/BIST Responsible Gold Supply Chain directives. LBMA Responsible Gold Guidance
(If your answer is yes, please attach your written policies regarding Gold Supply Chain Policy) ☐ yes ☐ no

5. Does your Company/Institution have a Compliance Officer/FATF Officer responsible for the Responsible Gold Supply Chain? Please specify identity details.

Name – Surname:

Position:

Phone:

E-mail:

6. Annexes

A copy of the following documents is attached:

- ☐ Our Anti-Money Laundering / Anti-Terrorist Financing policy and procedures
- ☐ Our Customer Acceptance Policy
- ☐ Our Independent Audit Report for the Last Year
- ☐ Our Gold Supply Chain Policy

7. Commercial Information

Company Name:

Address:

E-mail /Web address

We declare that the information provided herein is correct and we approve their registration into the database of ALEKS METAL RAFİNERİ A.Ş..

Name/Title

Signature

Place and Date

Company Seal

Aleks Metal Rafineri A.Ş.

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CUSTOMER COMPLIANCE AGREEMENT FORM

Name / Company Name:

Address:

E-Mail Address:

Phone:

ALEKS METAL RAFİNERİ A.Ş. has implemented Due Diligence procedures by establishing a number of ethical rules regarding customer relations in order to maintain its sectoral success and international accreditations and commercial reputation.

ALEKS METAL RAFİNERİ A.Ş. accepts the principle that precious metals come from legitimate and ethical sources in the activities it participates in, cooperates with and develops in relation to the supply of precious metals in terms of gold import, gold trade and gold refining, does not constitute any crime and is not related to armed conflict or violations of human rights.

ALEKS METAL RAFİNERİ A.Ş. only deals with legitimate and law-abiding customers/suppliers. ALEKS METAL RAFİNERİ A.Ş. considers that precious metals imported to Turkey by its customers are not associated with a government, political party, military institutions, criminal networks, illegitimate armed groups or private security forces under any circumstances. Both during the operation of the mine and also, during the transportation phase, the shipping company and the owner of the mine accept that the precious metal has never been involved in activities within the scope of labor force, misuse of child labor, war crimes, crimes against humanity and genocide in terms of cruelty, torture, etc. under any circumstances.

You will be asked to verify and provide all necessary information/documents on the issues you specified in the Customer Compliance Survey (Due Diligence) form and stated above. If necessary, you may also be subject to the audit in this direction by ALEKS METAL RAFİNERİ A.Ş.

Do you declare that you are in compliance with the Compliance procedures, Gold Supply Chain Responsibility Policy and Due Diligence procedures of ALEKS METAL RAFİNERİ A.Ş.? (Mark the appropriate one.)

_____ Yes, we are compatible with ALEKS METAL RAFİNERİ A.Ş.

_____ No, we are not compatible with ALEKS METAL RAFİNERİ A.Ş.

_____ Yes, we are exempt from the issues specified by ALEKS METAL RAFİNERİ A.Ş.

Reason for Exemption:

REMARKS:

We declare that we have read and understood the Gold Supply Chain Responsibility Policy, Compliance rules and Customer Recognition System and Due Diligence procedures of ALEKS METAL RAFİNERİ A.Ş. We declare that all the information provided herein is true, accurate and to the best of our knowledge, that the documents provided are true, and that there is no practice that violates the policies and rules of ALEKS METAL RAFİNERİ A.Ş. We declare that we shall carry out all our commercial transactions officially and registered, free from complicity such as money laundering, etc. and in accordance with the laws.

We undertake to provide additional certificates and documents to be requested by authorized persons about this remark and compliance.

AUTHORIZED SIGNATURE:

Name and Title:

Date:

Seal and Signature:

GOLD-SILVER SOURCE-ORIGIN INFORMATION FORM

Method of Obtaining Gold-Silver

- Was Gold and/or Silver Extracted from Mine? ☐
- Was Gold and/or Silver Purchased from Collectors? ☐
- Was Gold and/or Silver Purchased from Refinery? ☐
- Was Gold and/or Silver Purchased from the Persons and/or Institutions Trading in this work? ☐

Origin of Gold-Silver

- Country if Gold and/or Silver was extracted from mine:
- Country of Origin of Gold and/or Silver:
- Country of Intermediary Firm if there is an Intermediary Firm:
- Country of Departure Point:

Shape of Gold-Silver

- Scrap Gold, Scrap Silver (Unmelted) ☐
- Scrap Gold, Scrap Silver (Melted-Wedge) ☐
- Gold Powder, Silver Powder ☐
- Granular Gold, Granular Silver ☐
- Gold From Abroad ☐
- Other (Please Explain) ☐

We declare that the origin of gold and/or silver traded by our company is not heavily embargoed Syria, Iran, Sudan, Cuba or North Korea, the information given above is accurate and complete; and also, we consent to the sharing of the information specified in this form and/or the details about our company with ALEKS METAL RAFİNERİ A.Ş. within the scope of compliance risk management, when necessary. I have been informed that no transactions shall be mediated by ALEKS METAL RAFİNERİ A.Ş. regarding the above-mentioned 5 heavily embargoed countries. We declare that we shall not carry out any commercial transactions with these countries on our behalf or on behalf of anyone else through ALEKS METAL RAFİNERİ A.Ş.

Authorized Signature:

Name/Surname:

Date:

Seal-Signature:

Aleks Metal Rafineri A.Ş.

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