**KYC(Know Your Customer) Form/KYS (Know Your Supplier or Vendor)**

**Section1 - General Information**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Full Company Name: |  | | | |
| Your Business Address: | Office No. |  | | |
| Building Name: |  | | |
| Street Address: |  | | |
| City: |  | State: |  |
| Country: |  | Pin/Zip/Code/P.O.Box |  |
| Telephone No. |  | | | |
| Email address: |  | | | |

**Section 2 – Ownership Information**

Please state below the details of the owners/partners/managers of the Company.

|  |  |  |  |
| --- | --- | --- | --- |
| **Full Name:** | **Nationality:** | **Contact No.** | **Email Address:** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Politically Exposed Persons – Confirmation**

|  |  |  |
| --- | --- | --- |
| Are any of the natural persons involved in your company persons holding or have held high public office or are related hereto, commonly known as**”Politically Exposed Persons”?** | Yes☐ | No☐ |

**Group Company Information**

|  |  |
| --- | --- |
| **Name of Company :** | **Nature of Association:** |
|  |  |
|  |  |
|  |  |

**Section 3 – Regulatory Information**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Trade/Commercial License Details | Issuing Authority |  | License No. |  |
| Issue Date |  | Expiry Date |  |
| Other Registration Status |  | | | |

|  |  |  |
| --- | --- | --- |
| Has your business or has any of its Directors, Principals, or Partners been: | | |
| Currently under any legal proceedings or pending judgment in the Court of Law? | Yes☐ | No☐ |
| Convicted of or charged with a criminal offense in past 3 years? | Yes☐ | No☐ |
| Found liable for negligence, fraud, wrongful trading, or malpractice? | Yes☐ | No☐ |
| Subject to any application for, or declaration of, liquidation, bankruptcy, or similar proceedings or subject to an administrative order? | Yes☐ | No☐ |
| Refused license or authorization to conduct business has been suspended, withdrawn, or not renewed? | Yes☐ | No☐ |
| Censured, fined, disciplined, suspended, or refused membership by any regulatory body? | Yes☐ | No☐ |

**Section 4 – Company Legal Information ( please mention details as applicable)**

|  |  |  |  |
| --- | --- | --- | --- |
| Company incorporation/Registration Certificate | Date/year of incorporation | ☐Trade License No  ☐Business Reg Certificate  ☐ Cert. of incumbency | Doc No. |
| Doc No. |
| ☐VAT Registration No.  ☐Tax Reg No  ☐ GST Registration No  ☐ Other |  |  |
| Valid till |
| Industry/Association Membership No (Bourse Membership or Diamond Association Membership) |  | Source of funds: | ☐ BUSINESS PROCEEDS  ☐ INHERITANCE  ☐OTHERS(Pease specify) |
| Purpose of transaction: |
|  |  |  |  |
| ☐ Company directors / ☐ Share Holder(s) / ☐ Manager / ☐ Authorized Signatory | | | |
| Name- |  | Email- |  |
| Designation- |  | Mobile No- |  |
| ☐ Emirates ID  ☐ Director Identification No  ☐ Passport No  ☐Other Document (Pl. Specify) |  | Valid Till Date- |  |

**Section 5- Ultimate Beneficial Owner Name/ declaration**

|  |  |  |  |
| --- | --- | --- | --- |
| \*Attach Latest Govt./Authority/Share certificate for UBO(s)-1st level & identity proof | | | |
| Name of the Person | Share % | Identity No.(Attach Doc.) | ID Type: Passport/PAN/Aadhar/Other |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Section 6- Bank Details**

|  |  |  |  |
| --- | --- | --- | --- |
| Bank Name and Address- |  | Bank Account Number- |  |
| RTGS/SWIFT Code- |  | IBAN No- |  |
| Account Type/Currency- |  | Correspondent Bank Name and SWIFT Code |  |

**Section 7- General Information**

|  |  |  |  |
| --- | --- | --- | --- |
| Does company adhere to KPCS? | ☐Yes ☐No ☐NA | Is the company or group sight holder of DTC/Argyle/Associated with any sight holder group? | ☐Yes ☐No ☐NA |
| Comply with DTC Best Practice Principles? | ☐Yes ☐No ☐NA | Does company have and follow AML/CFT Policy? | ☐Yes ☐No ☐NA |

**Encl: Documents Attached for above KYC/KYS**

|  |  |  |  |
| --- | --- | --- | --- |
| ☐ Trade License copy | ☐ Company Pan Card copy | ☐ Latest Certificate of Incumbency | ☐ Business Registration Certificate |
| ☐ VAT Registration Certificate | ☐GST Registration Certificate | ☐ TAX Registration Certificate |  |
| ---Copy of shareholders /Directors/Manager--- | ☐ Passport | ☐ Visa (if applicable) | ☐ Emirates ID  ☐ Other ID(Pl. specify) |
| ☐ MOA and AOA | ☐ Partnership Document (If partnership firm) | ☐ Share Certificate | ☐ Extract of Company |
| ☐ Certificate of Registration | ☐ Certificate of Incorporation |  |  |

I/We here by confirm to the best of my knowledge and belief that the information contained in this form and any attachment here to is true and correct. I/ We will timely inform the company: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ in writing of any subsequent material changes to the information provided herein/attached here to. Wherein I hereby explicitly agree to abide by all AML/CFT Laws and Regulations of The UAE and shall cooperate further with the company: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ to provide certified true copies including any further information which may be required during the course or after exiting my/our business relationship if requested for the purpose of regulatory reportings.

|  |  |  |
| --- | --- | --- |
| Name |  | Company Stamp |
| Position |  |
| Signature |  |
| Date | Click here to enter a date. |

POLITICALLY EXPOSED PERSON (PEP) DECLARATION FORM

The information in this form is collected in order to comply with the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities requirement.

A politically exposed person (PEP) is an individual who is or who has been entrusted with prominent public functions domestically’ or by a foreign county.

Prominent public functions include the following profiles:

1. Head of State or of Government 2. Senior politician

3. Senior government, judicial or military official 4. Member of ruling royal family

5. Senior executive of state-owned corporation / government linked company 6. Important political party official

The definition of PEP also includes immediate family members, relatives, adviser, personal adviser or business associate of an individual stated above

1. Are you a PEP? Yes No
2. Is you or the entity related to a PEP? Yes No

**(Please fill the below questions if the first two questions you answered - yes)**

1. If you are or related to a PEP, please indicate the profile and relationship to you:

**A**. Head of State or of Government  **B**. Senior politician

**C**. Senior government, judicial or military official  **D**. Member of ruling royal family

**E**. Senior executive of state-owned corporation / Government linked company

**F**. Important political party official **G**.Other…………………….

**I hereby declare that the details and information given above are complete and true to the best of my knowledge**

**Name………………. Designation……………….. Date & Signature……………….**

**[Name]**

**[Address]**

**[Date]**

**To,**

**[Name of Entity]**

**[Address]**

**Subject: Undertaking letter regarding Source of Funds**

**Dear Sir/Madam**,

I am writing this letter to confirm the source of funds that will be used for [state the purpose of the funds].

The funds that I will be using have been acquired through [state the source of the funds, e.g., income from my business, inheritance, sale of property, etc.]. I declare that the funds are legitimate and do not have any illegal origin.

I understand that your entity has an obligation to comply with the laws and regulations on money laundering and terrorist financing. I assure you that the funds used to purchase your products are from legitimate sources.

If necessary, I am willing to provide any additional documentation or information to support the legitimacy of the funds.

Please let me know if you need any further clarification or information.

**Thank you for your understanding and cooperation.**

**Sincerely,**

**[Individual Name & Signature]**

Date:

To,

Dear Sir,

**UNDERTAKING LETTER**

I , Mr.\_\_\_\_\_\_\_\_\_\_\_, having Passport number ……………. , owner & UBO of ­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_hereby confirm that neither of our entities nor any of our related parties are dealing with sanctioned countries listed by UAE, United Nations, United States, European Union or the UK , nor Owned or controlled by , or operating as agents of the Governments of Cuba, Iran, North Korea, Syria or Venezuela or Resident or domiciled in Iran, Syria, North Korea, Cuba or Crimea.

I hereby further confirm that all of our business operations have never dealt with / won’t involve a sanctioned country ( at present Crimea, Cuba, Iran , North Korea or Syria) or violate or to cause any economic or financial sanctions or trade embargoes implemented, administered or enforced by the United Arab Emirates, The United Nations, United States, European Union, United Kingdom or other relevant sanctions authorities.

I also confirm that neither I nor any of key person acting as nominee of any person national / residing any of the above sanctioned countries.

Thanking you.

Yours’ faithfully,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Authorised Signatory)