



RAPPA
RESOURCES

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Know Your Customer (KYC)
LBMA Responsible Gold Guidance Questionnaire:
Recyclable Gold

1. COMPANY DETAILS	
a. Name	
b. Registered Address	
c. Business Address	
d. Phone Number	
e. Date of Incorporation	
f. Country of Incorporation	
g. Business Registration Number	
h. Tax Identification/Registration number	
i. If listed, indicate name of stock exchange(s) and ticker	
j. Website	
k. External Financial Auditors	
l. How many direct and indirect subsidiaries does the company have? <i>Please provide a Group chart</i>	

2. BUSINESS ACTIVITY	
a. Type of Business	Bank <input type="checkbox"/> Jeweller <input type="checkbox"/> Precious Metals <input type="checkbox"/> Scrap dealer <input type="checkbox"/> Trader/Dealer <input type="checkbox"/> Other Financial Intermediary <input type="checkbox"/> Coins dealer <input type="checkbox"/> Industrial <input type="checkbox"/> Mint <input type="checkbox"/> Wholesaler <input type="checkbox"/> Others, please specify: <input type="checkbox"/> _____
b. Description of core business activity	
c. Does the company hold a license to conduct its business(es)? <i>Please provide a copy(ies)</i>	

Rappa Resources (Pty) Ltd

Directors GK Bickerton (CEO) • JA Moss (COO) • S Geel (CFO) • BA Khumalo (Independent Non-Executive Director)
 • RC Moss (alternate to JA Moss) • PJJ Conradie
Registration No. 1988/000342/07



2. BUSINESS ACTIVITY	
d. Main Market	
e. Main Products	

3. BENEFICIAL OWNERS				
SHAREHOLDER(S) (MORE THAN 25%)				
Percentage Holding (%)	Name	Address	Country of Incorporation/ Nationality	Date of Incorporation/ Date of Birth
ULTIMATE BENEFICIAL OWNER (MORE THAN 25% - INDIVIDUAL ONLY)				
Percentage Holding (%)	Name	Address	Nationality	Date of birth

4. MANAGEMENT STRUCTURE				
	Names	Title	Nationality	Date of Birth
a. Board of Directors				
b. Management				



5. FINANCIAL INFORMATION			
	Currency	Last Reporting Period	Previous Year
a. Share Capital			
b. Total Shareholder's Equity			
c. Total Balance Sheet			
d. Sales			
e. Net Income			
<i>Please provide copy of latest annual financial statements</i>			

6. HUMAN RESOURCES	
a. Number of Employees within the Company	
b. Number of Employees within the Group	

7. ORIGIN OF PHYSICAL PRECIOUS METALS	
a. Profile of your precious metals suppliers (Individual / Company)	
b. Country(ies) of origin of precious metals delivered to us?	
c. Countries of destination of precious metals delivered once refined?	
d. Is the Company legally required to have a licence to import precious metals?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No <input type="checkbox"/> N/A
e. Is the Company legally required to have a licence to export precious metals?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No <input type="checkbox"/> N/A

8. FACILITIES	YES	NO	N/A
a. Does the Company have any smelting or refining facilities?			
b. Does the Company have any manufacturing facilities?			
c. Does the Company produce its own jewellery?			



<input type="checkbox"/> RJC Chain of Custody Standard	
<input type="checkbox"/> WGC Conflict Free Gold Standard	
<input type="checkbox"/> Conflict Free Smelter (CFS) Program	
<input type="checkbox"/> Others, please specify: _____	
d. What are the procedures in place to ensure that the precious metals purchased have not financed conflict?	

10. ANTI MONEY LANDERING (AML) – COMBATING FINANCIAL TERRORISM (CFT)	
a. Is your institution subject to Anti-Money Laundering/Combating financial terrorism Law/Regulation	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Name of the AML-CFT Law/Regulation	
c. Name of the Regulator	
d. Has your institution established a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No

11. BRIBERY POLICY	
a. Does your Company have any bribery policy in place?	<input type="checkbox"/> Yes – Please provide a copy <input type="checkbox"/> No
b. Has the company or the Senior Management ever been charged anywhere in the world for violation of applicable anti-bribery laws or regulations?	<input type="checkbox"/> Yes – Please provide details <input type="checkbox"/> No

12. Data Privacy Protection	
a. Does your company have Data Protection Policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Does your company have Data Protection Commissioner?	<input type="checkbox"/> Yes <input type="checkbox"/> No
c. Does your company have a certified data storage system or an information system?	<input type="checkbox"/> Yes <input type="checkbox"/> No



13. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE				YES	NO	N/A
Organisation						
a. Does the Company have a person responsible (Compliance Officer) for all AML-CFT matters (Due Diligence, AML policies, internal training)? If yes, please provide us with his/her name, phone number and e-mail address						
b. Is the Company subject to an AML-CFT audit by an independent party or a governmental party? Date of your last AML-CFT compliance audit:						
c. Does the Company have an AML-CFT training for the employees?						
d. Does the Company delegate to third parties some of the compliance functions to be carried out? If yes, what functions and to which company do you delegate?						
e. How long does the Company keep its due diligence files (records)?						
Precious Metals Suppliers Due Diligence				YES	NO	N/A
f. What is the typical profile of your precious metals suppliers?						
<input type="checkbox"/> Corporate (%____)						
<input type="checkbox"/> Individual persons (%____)						
g. What type of information does the Company request from its precious metals suppliers?						
Companies	YES	NO	Individuals	YES	NO	
Company name	<input type="checkbox"/>	<input type="checkbox"/>	Name and first name	<input type="checkbox"/>	<input type="checkbox"/>	
Address	<input type="checkbox"/>	<input type="checkbox"/>	Address	<input type="checkbox"/>	<input type="checkbox"/>	
Date of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>	Date of birth	<input type="checkbox"/>	<input type="checkbox"/>	
Country of Incorporation	<input type="checkbox"/>	<input type="checkbox"/>	Nationality	<input type="checkbox"/>	<input type="checkbox"/>	
Business register extract or equivalent document	<input type="checkbox"/>	<input type="checkbox"/>	Copy of ID card or passport	<input type="checkbox"/>	<input type="checkbox"/>	
Beneficial Owners	<input type="checkbox"/>	<input type="checkbox"/>	Beneficial Owners	<input type="checkbox"/>	<input type="checkbox"/>	
Origin of Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>	Origin of Precious Metals	<input type="checkbox"/>	<input type="checkbox"/>	
Description of main activity and financial information	<input type="checkbox"/>	<input type="checkbox"/>	Supplier profile (activity, wealth, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
h. Does the Company have a risk-based assessment of its precious metals suppliers (e.g. low, medium or high risks)?						
i. Does the Company screen precious metals suppliers and transactions against lists of persons, entities or countries issued by government/competent authorities?						



13. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE	YES	NO	N/A												
j. Does the Company perform enhanced due diligence for high risk precious metals suppliers?															
k. Does the Company assess its corporate precious metals suppliers' AML-CFT and purchase procedures and practices?															
<i>Transactions monitoring</i>	YES	NO	N/A												
l. Does the Company perform a risk-based assessment to understand the normal and expected transactions of its suppliers (in order to identify the unusual transactions)?															
m. Does the Company have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments (e.g. traveller's cheques) or third party payments?															
n. Does the Company have to register all purchases and sales?															
o. To which of the following suppliers does the Company purchase its precious metals and what is the average amount of purchase by deal?															
<table border="1"> <thead> <tr> <th>Supplier type</th> <th>Purchase percentage (%)</th> <th>Average amount in USD per deal</th> </tr> </thead> <tbody> <tr> <td>Bank</td> <td></td> <td></td> </tr> <tr> <td>Corporate</td> <td></td> <td></td> </tr> <tr> <td>Individual</td> <td></td> <td></td> </tr> </tbody> </table>				Supplier type	Purchase percentage (%)	Average amount in USD per deal	Bank			Corporate			Individual		
Supplier type	Purchase percentage (%)	Average amount in USD per deal													
Bank															
Corporate															
Individual															
p. What usual payment method does the Company use to pay its precious metals suppliers?															
<table border="1"> <thead> <tr> <th>Payment type</th> <th>Percentage (%)</th> </tr> </thead> <tbody> <tr> <td>Bank transfers</td> <td></td> </tr> <tr> <td>Checks</td> <td></td> </tr> <tr> <td>Cash</td> <td></td> </tr> </tbody> </table>				Payment type	Percentage (%)	Bank transfers		Checks		Cash					
Payment type	Percentage (%)														
Bank transfers															
Checks															
Cash															
q. Does the Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to the relevant Authority?															
r. How many suspect reports has the Company filled and handed over to the relevant Authority the last two years?															
s. Does the Company have a maximum amount as per internal policy or regulatory framework:															
<ul style="list-style-type: none"> amount allowed for cash payment? If yes, how much? amount of deal per supplier in USD? If yes, how much? 															
t. Where cash transaction reporting is mandatory, does the Company have procedures to identify transactions structured to avoid such obligations?															



14. TRANSACTION MONITORING ON PURCHASE FROM INDIVIDUALS ONLY			
- TO BE FILLED ONLY BY COMPANY PURCHASING PRECIOUS METALS FROM INDIVIDUALS			
	YES	NO	N/A
a. Does the Company perform statistics on precious metals sold by person in order to identify unusual transactions?			
b. Does the Company have a specific procedure if a deal with an individual is significantly higher than the average deal? If yes, please describe: <hr/> <hr/>			
c. Is the Company able to verify that a person does not come several times in the counter/in different counters to sell each time a small amount but for a global material amount (smurfing)? If yes, how? <hr/> <hr/>			

15. INDUSTRIAL SOURCING – TO BE COMPLETED ONLY BY INDUSTRIAL COMPANIES			
	YES	NO	N/A
a. What type of precious metals do you purchase for industrial purposes? <input type="checkbox"/> LBMA GD Bullion <input type="checkbox"/> Non LBMA Good Delivery Bullion (Au =>995 / AG=>9999) <input type="checkbox"/> Grains <input type="checkbox"/> Semi-finished products <input type="checkbox"/> Industrial products, please describe <input type="checkbox"/> Others, please specify <hr/>			
b. In which country do you purchase your precious metals products?			
c. From whom do you source your precious metal products? <input type="checkbox"/> Refineries <input type="checkbox"/> Precious metals dealers <input type="checkbox"/> Banks <input type="checkbox"/> Industrial <input type="checkbox"/> Others, please specify			



15. INDUSTRIAL SOURCING – TO BE COMPLETED ONLY BY INDUSTRIAL COMPANIES	YES	NO	N/A
d. Have you identified the refinery which produced the precious metals used in your supply chain?	<input type="checkbox"/>	Yes	
e. Have you assessed the refiner's due diligence policies and practices?	<input type="checkbox"/>	No	



16. DOCUMENTS REQUIRED	
<i>Please provide certified copies of the following documents</i>	
1. Business Registration	
2. Certificate of Incorporation	
3. Latest Annual Financial Statements	
4. Company Letterhead	
5. Proof of Registered Physical Address	
6. Memorandum and Articles of Association (If Applicant is an incorporated company)	
7. Tax Certificate of Good Standing	
8. VAT Registration Certificate	
9. Board Resolution in respect of trading limits / signing authorities	
10. Permit / Licenses	
11. Standard Settlement Instructions	
12. Letter from bank confirming trading account details	
13. Second-hand Goods Certificate (if applicable)	
14. SAPS Clearance Certificate	

Comments / Additional information (please indicate which question the information is referring to):



ACKNOWLEDGEMENT AND DECLARATION

I/We *[the client]* hereby acknowledge and declare by our signature to this document that:

1. I/We am/are aware of and will abide by all local regulatory requirements relating to compliance, anti-money laundering, terrorist financing and dealing in conflict minerals.
2. I/We am/are not involved or engaged either directly or indirectly with any form of illegal activities relating to the conduct of my metals business with my/our clients or associates or counterparts.
3. All information provided by me/us in this application is true and accurate.
4. I/We hereby accept that our application for a trading facility will be subject to the approval of Rappa Resources Proprietary Limited.
5. In the event that our trading application is unsuccessful, Rappa Resources Proprietary Limited is not obligated to provide us with any reason whatsoever and will accept Rappa Resources Proprietary Limited's decision as final.
6. I/We agree that Rappa Resources Proprietary Limited may subject this Application to External Investigation/Verification.



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SIGNATURE

I hereby declare that the information given above is true and accurate as of the date of writing.

I undertake to automatically inform Rappa Resources Proprietary Limited of any material changes.

	Authorised Signatory	Authorised Signatory
Signature:		
Print Name:		
Title:		
Company Name:		
Date and location:		