



Baird & Co.
Bullion Merchants
Est. London 1967

BAIRD & CO. LIMITED ACCOUNT OPENING FORM

Business Retail Supplier Account Application

Baird & Co. Ltd | PO Box 71581, London, E6 9NF | Tel. 0207 474 1000 | Email: compliance@bairdmint.com

I/We confirm that I/We wish to open an account in the Company/Legal Entity name detailed on this application form with Baird & Co. Ltd. I/We will provide the documentation requested. I/We agree to the Baird & Co. Terms & Conditions published at www.bairdmint.com

SECTION A - BUSINESS/COMPANY INFORMATION

A1. Company Name		
A2. Trading Name		
A3. Type (Ltd/Partnership/Sole Trader)		
A4. Company Registration No:		
A4. Registered Address		
A5. Trading Address		
A6. Contact Telephone No		
A7. Contact Email address		
A8. Date of Incorporation		
A9. Country of Incorporation		
A10. VAT / Tax Registration No		
A11. Industry / SIC Code		
<i>Describe the industry in which you operate and the goods and services you offer to customers</i>		

SECTION B - BUSINESS BANK ACCOUNT

(Please detail below the nominated account/s through which you will make and receive payments to Baird)

(1) Account One		
Name of Bank/Institution		
Address of Bank		
Account Name		
Account Number		
Sort Code		
CURRENCY		
(2) Account Two		
Name of Bank / Institution		
Address of Bank		
Account Name		
Account Number		
Sort Code		
CURRENCY		

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ACCOUNT OPENING FORM

Section 2 – Account Types/Services Required

1. BUY ACCOUNT	<i>–for the purchase of precious metals</i>	
DOES YOUR COMPANY REQUIRE A BUY ACCOUNT WITH BAIRD & CO. LTD		
<i>(if the answer is YES please complete all the questions below)</i>		
How much does your Company plan to spend on precious metals in the first transaction?		
How much does your Company plan to spend on precious metals in the next 12 months?		
Please confirm/ describe the Source of Funds that will be used to make purchases?		
Does your Company intend to re-sell metal purchased from Baird & Co. on to customers?		
Does your Company intend to keep the precious metals an asset of the company?		
2. SELL ACCOUNT	<i>–for the sale of metal or scrap to Baird & Co.</i>	
DOES YOUR COMPANY REQUIRE A “SELL ACCOUNT” WITH BAIRD & CO. LTD		
<i>(if the answer is YES please complete all the questions below)</i>		
How much (in approx. £ GBP) does your Company intend to sell in the first transaction?		
How much (in approx. £ GBP) does your Company intend to sell in the first 12 months?		
Will your Company sell Baird & Co. bars and coins back to Baird & Co.?		
Will your Company sell Scrap Metal to Baird & Co.?		
Will your Company sell imported precious metals / mined gold / mined silver to Baird?		
3. STORAGE ACCOUNT	<i>–for storage of physical metals</i>	
DOES YOUR COMPANY REQUIRE A STORAGE ACCOUNT / VAULTING FACILITIES		
<i>(if the answer is YES please complete all the questions below)</i>		
Does your Company intend to store metals purchased from Baird & Co. with Baird?		
Does your Company intend to store other metal (external metals) with Baird & Co.?		
Does your Company intend to store customer metals (on behalf of customer) with Baird?		
How long, approximately, will you require storage facilities for?		
4. RESERVE ACCOUNT	<i>–for the purchase and sale of unallocated (non-physical) metals</i>	
DOES YOUR COMPANY INTEND TO PURCHASE UNALLOCATED METAL FROM BAIRD		
<i>(if the answer is YES please complete all the questions below)</i>		
What metals your Company intend to purchase as unallocated / reserve holdings?		
How much (in approx. £ GBP) does your Company intend to spend on unallocated metal?		
How much (in approx. £ GBP) does your Company intend to spend on unallocated metal?		
Does your company intend/plan to convert unallocated metal to physical metal?		
5. REFINERY SERVICES	<i>–for melting and testing of precious metals</i>	
DOES YOUR COMPANY REQUIRE REFINERY SERVICES / MELT & ASSAY SERVICES		
<i>(if the answer is YES please complete all the questions below)</i>		
Please confirm what types (forms) of metals require refining (bars/coins/scrap/dore/leml)?		
Please confirm if you will be providing customer products for refinery services?		
Please confirm the approximate quantity of metal you will require refinery services for?		
Please confirm how many times / what frequency / you will require refinery services for?		

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Section 3 – Owners/Controllers/Authorised Persons

(A) DIRECTORS OF COMPANY

Please list all current Directors of your Company below

	Director Name	Director Address	Director Date of Birth
1			
2			
3			
4			

(B) SHAREHOLDERS / ULTIMATE BENEFICIAL OWNERS (UBOs) OF COMPANY

Please list all current Shareholders of your Company below

	Shareholder Name	Shareholder Address	% shareholding
1			
2			
3			
4			

Please provide the following supporting documents with the completed application form:

- Certificate of Incorporation
- A copy of the Bank Statement for the company
- A copy of the VAT certificate for the company
- Photographic ID (passport or drivers licence for all Directors/Shareholders/UBOs of the company)
- Proof of Address documentation (for residential address) for all Directors/Shareholders/UBOs of the company (utility bill or bank statement)

Please return the completed application form and all documentation to: compliance@bairdmint.com

I/We confirm that I/We wish to open an account in the Company/Legal Entity name detailed on this application form with Baird & Co. Ltd. I/We will provide the documentation requested. I/We agree to the Baird & Co. Terms & Conditions published at www.bairdmint.com

SIGNATURE REQUIRED FROM AUTHORISED PERSON/S:

Signature	Signature	Signature
Name	Name	Name
Position	Position	Position
Date	Date	Date

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RECYCLED METALS - SUPPLIER INFORMATION

A. PROPOSED RECYCLED METAL SUPPLY		
A1.	Which metals do you want to supply to Baird & Co.? (i.e. gold, silver, platinum, palladium) ?	
A2.	What is the quantity of the recycled metal that you are planning to send to Baird & Co.? (in kg/gr/oz) ?	
A3.	In what form is the recycled material that you are planning to send to Baird & Co.? please select from the list below:	
A4.	<ul style="list-style-type: none">• <u>UNPROCESSED RECYCLED PRECIOUS METAL</u>	
	<ul style="list-style-type: none">• <u>LBMA GD BULLION</u>	
	<ul style="list-style-type: none">• <u>NON LBMA GOOD DELIVERY BULLION (Au=>995/AG=>9999)</u>	
	<ul style="list-style-type: none">• <u>COINS</u>	
	<ul style="list-style-type: none">• <u>JEWELLERY</u>	
	<ul style="list-style-type: none">• <u>BROKEN JEWELLERY</u>	
	<ul style="list-style-type: none">• <u>OWN PRODUCTION WASTE</u>	
	<ul style="list-style-type: none">• <u>COLLECTED WASTE</u>	
	<ul style="list-style-type: none">• <u>MELETED RECYCLED PRECIOUS METALS</u>	
	<ul style="list-style-type: none">• <u>RUDIMENTARY BARS</u>	
	<ul style="list-style-type: none">• <u>OTHER – please specify</u>	
A4.	Please re-confirm your primary business activities from the following list:	
	<ul style="list-style-type: none">• Bank	
	<ul style="list-style-type: none">• Jeweller	
	<ul style="list-style-type: none">• Precious Metals Dealer	
	<ul style="list-style-type: none">• Scrap Dealer	
	<ul style="list-style-type: none">• Pawnbroker / pawnshop	
	<ul style="list-style-type: none">• Coin Dealer	
	<ul style="list-style-type: none">• Other Financial Intermediary	
	<ul style="list-style-type: none">• Mint	
	<ul style="list-style-type: none">• Industrial	
	<ul style="list-style-type: none">• Any other industry	
A5.	Please confirm your core business activities:	
A6.	Please describe any other activities your business undertakes ?	
A6.	Does your Company have REFINING FACILITIES (yes/no)	
A7.	If yes:	
	<ul style="list-style-type: none">• Please provide the location of the refining facility	
	<ul style="list-style-type: none">• Please confirm if the refinery has any red flags in its supply chain	
	<ul style="list-style-type: none">• If there are red flags do e you request the refinery to be audited for its compliance with OECD DD on responsible supply chains from high risk areas	
	<ul style="list-style-type: none">• Please provide a copy of the audit report	

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RECYCLED METALS - SUPPLIER INFORMATION

A7.	Does your company have melting facilities?	
A8.	Does your company produce its own jewellery	
A9.	Does your company require a specific licence to conduct its business activities ?	
A10.	Does your company require a consumer credit licence?	
A11.	Please confirm if your company has a HMRC High Value Dealer Certificate ?	
B. Origin and Processes for the Precious Metals Sourced by your Business		
B.1	Please list all countries of origin for the precious metals that you receive?	
B.2	Please provide a description and profile of the customers from whom you source metal <ul style="list-style-type: none">• JEWELLERS• PRECIOUS METALS• TRADER/DEALERS• SCRAP DEALER• PAWN SHOP• COINS DEALER• INDUSTRIAL• MINT• WHOLESALE• PRIVATE INDIVIDUALS• OTHERS, PLEASE SPECIFY	
B.3	What type of customer information does your Company obtain from its precious metals suppliers? Confirm for each category:	
	• Company Name	
	• Address	
	• Date of Incorporation	
	• Company Number	
	• Beneficial Owners	
	• Origin of precious metals	
	• Individuals	
	• Name and First Name	
	• Address	
	• Date of Birth	
	• Nationality	
	• Copy of ID / Passport	
	• Origin of Precious Metals	
	• Supplier Profile	
B.4	What payment methods does your company accept:	
	• Bank Transfer (list % of revenue)	
	• Cheques (list % of revenue)	
	• Cash (list % of revenue)	

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RECYCLED METALS SUPPLIER INFORMATION

C. Company Details		
C.1	Please confirm the number of employees within your Company?	
C.2	Please confirm the number of employees within the Group?	
C.3	Please confirm your AML/CFT regulatory	
C.4	Has your company established a conformity program that contains AML/ CFT policies and procedures according to local and international laws and standards?	
C.5	Does your company have an Anti-Bribery and Corruption policy?	
C.6	Has the company or senior management ever been charged for violation of local or international bribery laws?	
D. Monitoring		
D.1	Has your company established a POLICY for supply chain of gold from CAHRAS which is consistent with the standards set forth in the model supply chain in Annex II of the OECD due diligence Guidance and responsible supply chains of minerals from CAHRAS	
D.2	Please provide a copy	
D.3	Does your company comply or plan to comply with the OECD Due Diligence Guidance	
D.4	Please confirm if your company is compliant with any of the following initiative / regulations	
D.5	<ul style="list-style-type: none"> • LBMA Responsible Gold Guidance • LBMA Responsible Silver Guidance • RJC Code of Practice • EU Conflict Minerals Regulation or Equivalent • RJC Chain of Custody Standard • WGC Conflict Free Gold Standard • Responsible Minerals Initiative 	

	AUTHORISED SIGNATORY	AUTHORISED SIGNATORY
SIGNATURE		
PRINT NAME		
COMPANY NAME		
DATE AND LOCATION		

Confidentiality and Data Protection Agreement

Before providing us with any information relating to either yourself and/or other identifiable living individuals in connection with this agreement, you should be aware of and provide the following information to all other identifiable living individuals whose data is to be supplied:

- (a) the categories of personal data that you are providing to us;
- (b) that you/they can contact our data protection officer at compliance@bairdmint.com or via post at our address: Data Protection Officer, Data Protection, PO Box 71581, London, E6 9NF.
- (c) that Baird & Co. may process received personal data as data controller for the purposes of:
 - (i) administering and operating your account;
 - (ii) complying with applicable regulations;
 - (iii) our legitimate interests, particularly in the course of the operational support and development of our business, including to evaluate customer service, efficiency and cost, as well as risk management purposes;
 - (iv) carrying out credit, money laundering and conflict checks for the prevention of fraud and financial crime;
 - (v) exercising and defending our legal rights anywhere in the world;
 - (vi) complying with legal and regulatory requests made to us anywhere in the world;
 - (vii) reporting to and/or being audited by, national and international regulators and complying with court orders associated with us.
- (d) that this processing is permitted by applicable data protection law because it is:
 - (i) necessary for the purposes of our legitimate interests in pursuing the purposes set out above (which are overridden by prejudice to the relevant individuals' privacy); and/or
 - (ii) in certain cases necessary so that we can comply with applicable regulations;
- (e) that we may disclose received personal data to persons in the categories identified in (c) above and from (f) – (i) below;
- (f) that this may involve transfer of received personal data to any country, including countries outside the European Economic Area, but that in those cases, except where the relevant country has been determined to ensure an adequate level of data protection by the European Commission or we need to make the transfer in order to perform a contract concluded in the interests of the relevant individual, we will ensure the transferred personal data is protected by a data transfer agreement. You may obtain further details of these transfers and agreements by contacting our Data Protection officer at compliance@bairdmint.com
- (g) that we will retain received personal data for a minimum of 5 years to meet legal, regulatory and business requirements. Retention periods may be extended if we are required to preserve personal data in connection with litigation, investigations and proceedings; and
- (h) that you/they have rights of access to, and rectification or erasure of, received personal data and restriction or objection to its processing, which you/they can exercise by contacting us (see paragraph (b) above) excluding circumstances denoted in section (g); and
- (i) may lodge complaints about our processing of received personal data with the Office of the Information Commissioner (www.ico.org.uk)