

## KNOW YOUR CUSTOMER POLICY

TIERRA GLOBAL COMMODITIES AG (TGC) – TGC is a “vertically integrated” mining company with production of thermal coal, anthracite, clay, silica sand, gypsum, quartz as well as other minerals.

Our position in the market has allowed us to establish long-term contracts with the world’s leading producers of solid fuels and other minerals, as well as the management and marketing of all types of industrial by-products.

TGC understands the importance of reliable partners for sustainable growth and high rates business development, aiming to insure compliance with applicable legislation and to confront identity theft, money laundering, fraudulent and terrorist activities, has developed the present Know Your Customer policy (KYC) to verify the identity of counterparties.

Compliance control at the Company is a system of measures aimed at combating violations of legislative norms, ignoring internal regulations and ethical provisions in business. This will identify, assess, and monitor compliance risks and regulatory risks.

Compliance risk is the risk of losses (material, information, labor, special) due to ignoring the requirements of legislation or local regulations, and regulatory – due to external influence of Supervisory authorities. Provision of information about the company’s activities by contractors is necessary for the company to achieve the following goals:

- functioning within the legislative framework and conduct business in accordance with ethical standards, maintaining information security.
- prevention of fraud and prompt prosecution of those caught in it, fight against corrupt officials.

TGC, in accordance with the information collected through the KYC Questionnaire, and the existing public information on the Internet, will carry out a preliminary analysis of the Counterparty, to assess the associated Reputational Risk. Only in those cases in which the Residual Risk is considered high, TGC will carry out a process led by an external advisor and will contact the Counterparty to seek their help in said process.

# KYC application form



Please complete this form or provide the same information in your own format. Confirm the information by submitting a signed copy or send it from your official company email-address to your single point of contact within TGC together with a certificate of registration.

<b>Company</b>	Company name	
	Address	
	Postal code, city	
	Country	
	Website	

<b>Identification</b>	VAT number(s)	
	National Identification No. / commercial registry number	
	DUNS number	<input type="checkbox"/> Not applicable

<b>Company profile</b>	Number of employees <sup>1</sup>	
	Date of incorporation	
	What is the purpose and intended nature of the business relationship with TGC?	

<b>Contact person for KYC questions</b>	
Name	Contact details
	Email: Phone:

<sup>1</sup> At a single company level, not group level.

# KYC application form



## Shareholders

Company name / Name	Registration no / Date of birth	Country of incorporation / Nationality	Ownership
			%
			%
			%
			%

## Beneficial Owners

(Natural person with direct or indirect ownership amounting to more than 25% of votes or capital.)

No beneficial owner existent (then please fill out form field 'Notional beneficial owner')

Name	Date of birth	Nationality	Place of residence	Ownership	PEP <sup>2</sup>
				%	<input type="checkbox"/> Yes / <input type="checkbox"/> No
				%	<input type="checkbox"/> Yes / <input type="checkbox"/> No
				%	<input type="checkbox"/> Yes / <input type="checkbox"/> No

## Notional Beneficial Owners

(If there is no natural person fulfilling the criteria of a beneficial owner above, a natural person being a legal representative, general manager or executive management member must be nominated as notional beneficial owner.)

Name	Date of birth	Nationality	Place of residence	PEP <sup>1</sup>
				<input type="checkbox"/> Yes / <input type="checkbox"/> No
				<input type="checkbox"/> Yes / <input type="checkbox"/> No
				<input type="checkbox"/> Yes / <input type="checkbox"/> No

<sup>2</sup> A Politically Exposed Person (PEP) is a natural person who holds or has held an important public function. Also family members and other persons closely associated with a PEP should tick the 'yes' in the PEP box. See <http://www.fatf-gafi.org/glossary/n-t/> for some examples of PEP.

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## Other entities

(Third party involved such as an agent, a guarantor, ships/vessels or if you trade on behalf of a third party.)

No other entity involved

Name of third party	Role of third party

## Directors and authority to sign

Name	Date of birth	Nationality	Authority to sign <sup>3</sup>

## Corporate Social Responsibility performance

Has your company been convicted for a breach of any labour laws in the countries you operate within the last five years?

Yes /  No

Has your company been convicted for a breach of any social and ethical requirements in the countries you operate within the last five years?

Yes /  No

Has your company been convicted for the use of forced / bonded or prison labour and harsh disciplinary measures within the last five years?

Yes /  No

Has your company been convicted for a breach of any child labour laws in the countries you operate within the last five years?

Yes /  No

<sup>3</sup> Alone / Jointly with 1 other / Jointly with multiple others / Jointly with all.

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Has your company been convicted for a breach of any bribery or corruption laws in the countries you operate within the last five years?	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Has your company been convicted for a breach of any environmental laws in the countries you operate within the last five years?	<input type="checkbox"/> Yes / <input type="checkbox"/> No

I declare that all information, answers and documents provided with this questionnaire are true and correct and that no information has been omitted which could affect the outcome of the KYC process. *If any material changes, relevant for the KYC assessment, occur after the date of this document the Company will inform TGC without undue delay.*

I declare that the Company and its business are not subject to any EU sanctions.

*I declare that the natural persons named in this KYC form has approved to the processing of their personal data for the purpose of the TGC Group KYC process, including using the data for screenings in KYC databases.*

Name	Date	Signature
<input type="text"/>	<input type="text"/>	<input type="text"/>

► Please attach a copy of the certificate of company registration.