

RAK Maritime City Free Zone Customer Due Diligence

1. The proposed entity/establishment type

- FZC FZE Branch

2. The proposed name of the entity

.....

3. The proposed entity's registered address and principal place of business¹

.....

4. The proposed entity's licence type

- Industrial Commercial Trading

5. Actual/ proposed business activities of the entity

(A generic business activity description (such as "management services" or "general" trading) is not sufficient.)

.....

6. Does the intended purpose and nature of the business activities of the entity engage in the following activities?

- | | |
|--|--|
| <input type="checkbox"/> Activities in defence industry | <input type="checkbox"/> Energy |
| <input type="checkbox"/> Aviation services | <input type="checkbox"/> High value/luxury good dealers |
| <input type="checkbox"/> Charities or non-profit organizations | <input type="checkbox"/> Insurance activities (not including brokers and agents) |
| <input type="checkbox"/> Coins investment and trading | <input type="checkbox"/> Lending activities |
| <input type="checkbox"/> Dealers in precious metals and stones | <input type="checkbox"/> Money Services Businesses (MSB) |
| <input type="checkbox"/> Dealing in bitcoin and other cryptocurrencies | <input type="checkbox"/> Mining |
| <input type="checkbox"/> Debt collection agencies | <input type="checkbox"/> Trusts |

7. Full name, local (if any) and home country address, date of birth, and nationality(-ies) (including all nationalities held) of all proposed **directors/ senior managers**, as well as, in each case, the following documents:

¹ An entity's principal place of business includes the country of the entity's main operating office.

(a) **evidence of identity** (current, signed passport or current, signed ID card or other official government issued identification documentation that is customary in the country of residence, including a clear picture, the individual's full name, date and place of birth and nationality);

8. Full name, local (if any) and home country address, date of birth, and nationality(-ies) (including all nationalities held) of all **Beneficial Owners**, as well as in each case, **evidence of identity** (current, signed passport or current, signed ID card or other official government issued identification documentation that is customary in the country of residence, including a clear picture, the individual's full name, date and place of birth and nationality)

"Beneficial owners" are individuals who ultimately own or control the entity, or on whose behalf a transaction or activity takes places.

For a company, a beneficial owner is any individual who:

- owns or controls at least 25% of the shares or voting rights;
- ultimately owns or controls whether directly or indirectly at least 25% of the shares or voting rights in the business;
- holds the right, directly or indirectly, to appoint or remove a majority of the board of directors;
- has the right to exercise, or actually exercises, significant influence or control over the corporate body;
- exercises ultimate control over the management; or
- controls the corporate body.

If shares or rights are held by a nominee, the beneficial owner will be the person for whom the nominee is acting. If the nominee is acting for a legal entity, then the beneficial owner will be the person who exercises ultimate control over the legal entity.

For a **partnership**, a beneficial owner is any individual who controls more than 25% of the capital of the partnership, or who ultimately is entitled to control more than 25% of the voting rights of the partnership.

For a **trust**, a beneficial owner includes: the settlor, trustees, beneficiaries and any individual who has control over a trust.

9. Full name, local (if any) and home country address, date of birth, and nationality(-ies) (including all nationalities held) of any individual acting on behalf of the entity pursuant to a Power of Attorney or by other means, as well as evidence of identity (such as a current, signed passport or current, signed ID card

or other official government issued identification documentation that is customary in the country of residence, including a clear picture, the individual's full name, date and place of birth and nationality)

10. Sanctions Policy Questionnaire (please refer to **APPENDIX 1**)

APPENDIX 1 – SANCTIONS POLICY QUESTIONNAIRE

RAK Maritime City Free Zone – Sanctions Policy Questionnaire

It is the policy of RAK Maritime City Free Zone to fully comply with all sanctions laws and regulations of the United Arab Emirates, United Nations, United States and European Union (including the United Kingdom), as well as other such laws and regulations, when applicable to its business (collectively, "**Sanctions**").

Legal entity name: XXX	
Exposure to sanctioned countries and targeted sanctions regimes	
<p>To the best of your knowledge, is the company or any of the company's Related Parties² a "Sanctions Target," which includes persons or entities that are:</p> <ul style="list-style-type: none"> • Listed by the United Arab Emirates, United Nations, United States, European Union or the United Kingdom as a target of Sanctions; • 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 (collectively, the "Embargoed Countries")? <p><i>If you have answered "Yes", please provide further details</i></p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
<p>To the best of your knowledge, is the company or any of the company's Related Parties owned by a Sanctions Target?</p> <p><i>If you have answered "Yes" please provide further details, including a description of the ownership interest (e.g., % of shares held) held by the Sanctions Target</i></p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
<p>To the best of your knowledge, does the company or company's Related Parties have any presence in (<i>i.e.</i>, registered office, branch office, subsidiary or other operations, address, principal place of business), or "Business Activity" (<i>i.e.</i>, sales or purchases, including through agents or intermediaries, investments, transshipments, etc.) with or involving, directly or indirectly, and Embargoed Country?</p> <p><i>If you have answered "Yes", please provide further details, including the % of business involving an Embargoed Country</i></p>	Yes <input type="checkbox"/> No <input type="checkbox"/>
<p>To the best of your knowledge, does the company have any Business Activity with or involving, directly or indirectly, a Sanctions Target?</p> <p><i>If you have answered "Yes", please provide further details, including the % of business involving a Sanctions Target</i></p>	Yes <input type="checkbox"/> No <input type="checkbox"/>

We confirm that all of our business with, through or involving RAK Maritime City Free Zone will not involve a sanctioned country (at present, Crimea, Cuba, Iran North Korea or Syria), including goods procured from or transhipped through a sanctioned country, or violate or cause RAK Maritime City Free Zone to violate any

² Related Parties include but are not limited to shareholders, beneficial owners, key controllers (*e.g.*, directors and senior managers), trustees, founders/grantors/settlors and beneficiaries.

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."

Date:

Authorised signatory of the client: