#### 

**PROSPECTIVE CUSTOMER**

**REGISTRATION FORM**

#### introduction

**IMPORTANCE NOTICE:**

**Information provided in response to this registration process will be used and processed in accordance with ODC’s privacy policy (as amended from time to time). A copy of ODC’s current policy can be found at** [**Privacy Policy**](https://www.odc.co.bw/privacy-policy)

Thank you for your interest in becoming a customer of ODC. We kindly request that you complete this Registration Form and submit it with all accompanying documentation **electronically** to [register@odc.co.bw](mailto:register@odc.co.bw)

Upon receipt of the Registration Form, a few internal steps will need to be taken before ODC can confirm successful registration. ODC reserves the right to refuse an applicant at any time.

If you have any questions about completing the Registration Form please feel free to contact the ODC’s sales team at [register@odc.co.bw](mailto:register@odc.co.bw) or [sales@odc.co.bw](mailto:sales@odc.co.bw) **tim@odc.co.bw**

#### Registration Information

*Please read before completing the Registration Form*

1. Any person who wants to participate in an ODC auction may apply to become a customer of ODC. Applicants that are legally registered companies and partnerships should complete the form in accordance with the guidance set out below. Applicants that are individuals should complete only the relevant sections of the form, marking ‘N/A’ any section that is not relevant.
2. ODC will not transact with any entity (including, without limitation, in respect of invoicing and delivery) other than ODC registered customers.
3. ODC recognises that different entities within a Group[[1]](#footnote-1) often have different purchasing needs. If more than one member of a Group intends to apply to become a customer of ODC, please follow the procedure outlined in point 5 below.
4. **If only one member of a Group is applying to participate in an ODC auction:**
   1. The Registration Form needs to be completed by the applicant entity. This entity will, if invited to an ODC auction, be the customer bidding in that auction (the “bidding customer”).
   2. If the applicant entity is not the ultimate parent company of the Group, Part 1 of the Supplementary Form (appended to the Registration Form) must also be completed in respect of the ultimate parent company.
5. **If more than one member of a Group is applying to participate in an ODC auction:**
6. One Group entity must be identified as the bidding customer. If invited to an ODC auction, this entity will bid in the relevant ODC auction for itself and on behalf of any other registered customers in the Group. ODC will only accept one bidding customer for each Group.
7. The bidding customer must complete the Registration Form.
8. Both Part 1 and Part 2 of the Supplementary Form (appended to the Registration Form) must be completed for each additional member of the Group applying to become an ODC customer.
9. If the ultimate parent company of the Group is not applying to become an ODC customer, Part 1 of the Supplementary Form (appended to the Registration Form) must also be completed in respect of the ultimate parent company.
10. Viewing appointments and any bidding limits set by ODC will apply at a Group level.
11. Unless expressly agreed with ODC, only employees, directors, shareholders and partners of registered customers will be able to participate in an ODC auction. If a customer wishes to bring a consultant, advisor or other third party to an ODC viewing, the customer will need to notify ODC in advance and any such third party will need to be registered as an ODC customer prior to attending the viewing appointment.
12. ODC will only invoice customers that are fully registered prior to the start of any auction. ODC will not register additional customers for the purpose of invoicing post an auction sale.
13. ODC reserves the right to ask for any additional information that may be required to complete the registration process. ODC may carry out ‘know your customer’ checks on all applicants (including, where relevant, any entities that are considered to be related parties of such customers).
14. Any applicant deemed by ODC, in its absolute discretion, to have successfully completed the above registration process shall be a “**Customer**” and where a Registration Form is successfully completed for one or more applicants in a Group, each applicant in that Group shall be a Customer. Successful registration shall be confirmed by ODC in writing and ODC reserves the right to review and/or revoke this confirmation as, in its absolute discretion and without giving reasons, it sees fit. ODC may review a Customer’s registration at any time and shall be entitled to request further registration information from a Customer at its sole discretion at any time.

#### CUSTOMER details[[2]](#footnote-2)

Please provide details of the applicant applying to become a customer of ODC. A Supplementary Form is provided at the end if more than one company within a Group wishes to become a customer.

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| Address details | | |
| |  | | --- | | 1.1 Full name of applicant: (for a company, this should be the registered company name) | |  | | 1.2 Trading name: (if different from above) | |  | | 1.3 Ultimate parent company name[[3]](#footnote-3): (if relevant and if not the same as 1.1) | |  | | 1.4 Registered business address (Billing address): | |  | | |  |  |  | | --- | --- | --- | | 1.5 Physical delivery address (Shipping address): | | | |  | | 1.6 Company registration number: | | | |  | | | 1.7 Company website: | | | |  | | | 1.8 Diamond/jewellery trade organisations: | | | |  | | |

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| Contact details |
| |  |  |  | | --- | --- | --- | |  | Primary Contact | Secondary Contact | | Surname |  |  | | Forename |  |  | | Email address |  |  | | Telephone number (office) |  |  | | Telephone number (mobile) |  |  | |

#### DETAILS OF COMPANY REPRESENTATIVES (*Companies and partnerships only\*\**)

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| Please complete the table below in respect of the following company representatives:   1. all company directors[[4]](#footnote-4) (D); 2. in respect of partnerships only, all partners (P); 3. in respect of listed companies only, shareholders holding 5% or more of the issued equity share capital of the company or the voting rights in it (S); 4. in respect of private companies only, all shareholders (S); and 5. in respect of all companies, any individuals or companies who **ultimately** own or control (directly or indirectly) 25% or more of the issued equity share capital of the company or the voting rights in it (I).   Please note that the columns marked with an (\*) need only be filled in for directors and, if the applicant is a partnership, the partners.  N.B. Where the applicant is an individual or a sole trader, please complete the form with the details of the individual and see “Appendix A” for additional requirements. Where the Postal Address is the same as the Residential Address please write “Same”.   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | Type of rep. (D, I, P and/or S) | PEP[[5]](#footnote-5)/PIP[[6]](#footnote-6) (Yes/No) | Surname | Forename | Date of Birth\* | Residential Address\* | Postal Address\* | Nationality\* | Passport Number\* | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | Type of rep.(D, I, P and/or S) | PEP5/PIP6 (Yes/No) | Surname | Forename | Date of Birth\* | Residential Address\* | Postal Address\* | Nationality\* | Passport Number\* | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |
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| |  | | --- | | CUSTOMER GROUP INFORMATION | | **Other companies in the Bidding Company’s Group**1 Yes/No    Please complete the table below for all members of your Group. Please indicate (if applicable) which of these are also applying to become ODC customers and ensure that their details have been provided in a Supplementary Form.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Registered company name | Company registration number | Trading name (if different from registered name) | Position in the jewellery supply chain[[7]](#footnote-7) | ODC applicant | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  area(s) of rough interest |
| Please indicate which area(s) of rough diamonds you (and any other members of your Group applying to become ODC customers as indicated in Section 3 above) are interested in purchasing:   |  |  | | --- | --- | | +9.80ct |  | | +2cts |  | | Grainers |  | | Melees |  | | Smalls |  | | Near Gem |  | | Industrial |  | |
| bank details |
| Note: Bank details for a maximum of two bank accounts per applicant entity may be provided. **These are the bank account(s) the applicant intends to use to make payment for purchases made at ODC auction sales.**   |  |  |  | | --- | --- | --- | |  | Primary bank account | Secondary bank account (if applicable) | | Name of bank |  |  | | Address of bank |  |  | | Bank sort code |  |  | | Swift code |  |  | | Account number |  |  | | IBAN number |  |  | | Account relationship manager at bank: | | | | Surname |  |  | | Forename |  |  | | Position |  |  | | Email address |  |  | | Office telephone number |  |  | |  |  |  | |

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| Required documentation |
| Please see Appendix A for the list of required documents to be submitted **electronically** with the registration form for each jurisdiction.  Unless otherwise advised, all documents submitted to ODC must be in English (or accompanied by an accurate English translation). Copy documents and translations must be **certified** by a qualified external lawyer, chartered accountant or notary public. |
|  |

#### anti-money laundering (AML) policy

This section should be completed in the capacity in which you are completing the registration form i.e. if you are applying to become an individual ODC customer, you should complete this section as an individual and if you are applying on behalf of an entity, you should complete this section on behalf of that entity.

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| 1. Do you/ your company (and its associated companies[[8]](#footnote-8) ) carry out ‘know your customer and supplier’ checks on business partners e.g. collecting passport details and addresses of the directors and shareholders of your customers and suppliers as well as ensure understanding of their group structures and ultimate beneficially owners. | Yes/No |
| 1. Do you have a nominated person in your organisation responsible for AML and compliance processes? | Yes/No |
| 1. Do you have an ongoing policy to regularly review customer/supplier details? | Yes/No |
| 1. Do you have systems in place to identify unusual transactions by customers and suppliers? | Yes/No |
| 1. Do you know which government unit in your country to report unusual transactions to should you identify any? | Yes/No |

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#### declaration[[9]](#footnote-9)

This section should be completed in the capacity in which you are completing the registration form i.e. if you are applying to become an individual ODC customer, you should complete this section as an individual and if you are applying on behalf of an entity, you should complete this section on behalf of that entity.

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| --- | --- |
| 1. Have you/ your company (or any of its associated companies[[10]](#footnote-10) ) been convicted of any serious criminal offence in the last 10 years? | Yes/No |
| 1. If you are applying on behalf of a company, have any of the directors[[11]](#footnote-11) /partners of your company (or the directors/partners of any of its associated companies) been convicted of any serious criminal offence in the last 10 years? | Yes/No |
| 1. Have you/ your company (or any of its associated companies) dealt, either directly or indirectly, with any conflict diamonds in the last 10 years? | Yes/No |
| 1. Have you/ your company (or any of its representatives or associated companies) been involved in any money laundering or terrorist financing activities in the last 10 years? | Yes/No |
| 1. Have you/ your company (or any of its representatives or associated companies) sold, either directly or through a third party, any undisclosed synthetic diamonds, undisclosed treated diamonds or undisclosed diamond simulants in the last 10 years? | Yes/No |
| 1. Have you/ your company (or any of its representatives or associated companies) been involved in serious abuses of Human Rights in the last 10 years? | Yes/No |
| 1. Have you/ your company (or any of its representatives or associated companies) used child or forced labour in the last 10 years? | Yes/No |
| 1. Are there any insolvency or bankruptcy proceedings pending against you, your company (or any of its associated companies)? | Yes/No |

**applicant’s signature**[[12]](#footnote-12)

We/I hereby confirm that all the information contained in this Registration Form (and associated Supplementary Forms and supporting documentation) is true and correct and that the person who has signed this Registration Form is duly authorised to do so as a Director or Partner of the Bidding Customer. (Signature and date are required on this form)

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|  |  |
| --- | --- |
| Name | Company |
| Position | Date |

#### PART 1

SUPPLEMENTARY FORM

#### company details[[13]](#footnote-13)

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| --- | --- | --- |
| Address details | | |
| |  |  | | --- | --- | | 1.1 Full name of applicant: (for a company, this should be the registered company name) | | |  | | | 1.2 Trading name: (if different from above) | | |  | | | 1.3 Ultimate parent company name: (if relevant and if not the same as 1.1) | | |  | | | 1.4 Bidding customer[[14]](#footnote-14): | | |  | | | 1.5 Registered business address (Billing address): | | |  | | |  |  |  | | --- | --- | --- | | 1.6 Physical delivery address (Shipping address): | | | |  | | 1.7 Company registration number: | | | |  | | | 1.8 Company website: | | | |  | | | 1.9 Diamond/jewellery trade organisations: | | | | |  | | | |

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| --- |
| Contact details |
| |  |  |  | | --- | --- | --- | |  | Primary contact | Secondary contact | | Surname |  |  | | Forename |  |  | | Email address |  |  | | Telephone number (office) |  |  | | Telephone number (mobile) |  |  | |

#### DETAILS OF COMPANY REPRESENTATIVES

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| Please complete the table below in respect of the following company representatives:   1. all company directors[[15]](#footnote-15)(D); 2. in respect of partnerships only, the partners (P); and 3. in respect of listed companies only, shareholders holding 5% or more of the issued equity share capital of the company or the voting rights in it (S); 4. in respect of private companies only, all the shareholders (S); and 5. in respect of all companies, any individuals or companies who ultimately own or control (directly or indirectly) 25% or more of the issued equity share capital of the company or the voting rights in it (I).   Please note that the columns marked with an (\*) need only be filled in for directors and, if the applicant is a partnership, the partners.   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | Type of rep.(D, I, P and/or S) | PEP5/PIP6 (Yes/No) | Surname | Forename | Date of Birth\* | Residential Address\* | Postal Address\* | Nationality\* | Passport Number\* | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | | Type of rep.(D, I, P and/or S) | PEP5/PIP6(Yes/No) | Surname | Forename | Date of Birth\* | Residential Address\* | Postal Address\* | Nationality\* | Passport Number\* | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |  |  |  |  |  |  |  |  |  | |

#### PART 2

# bank details

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| Note: Bank details for a maximum of two bank accounts per applicant entity may be provided. **These are the bank account(s) the applicant intends to use to make payment for purchases made at ODC auction sales.**   |  |  |  | | --- | --- | --- | |  | Primary bank account | Secondary bank account (if applicable) | | Name of bank |  |  | | Address of bank |  |  | | Bank sort code |  |  | | Swift code |  |  | | Account number |  |  | | IBAN number |  |  | | Account relationship manager at bank: | | | | Surname |  |  | | Forename |  |  | | Position |  |  | | Email address |  |  | | Office telephone number |  |  | |
| section 4: required documentation |
| Please see Appendix A for the list of required documents to be submitted **electronically** with the registration form for each jurisdiction.  Unless otherwise advised, all documents submitted to ODC must be in English (or accompanied by an accurate English translation). Copy documents and translations must be **certified** by a qualified external lawyer, chartered accountant or notary public. |

1. “Group” for the purposes of this Registration Form shall mean, in relation to the applicant, the applicant’s ultimate parent company, together with all of its direct and indirect subsidiary companies that are involved in any way in the diamond supply chain. A “subsidiary company” shall mean any company in which a parent directly or indirectly: (i) holds or controls a majority of the voting rights (either by means of equity shareholding or by way of written agreement with the other members); or (ii) can appoint or remove a majority of the board of directors; or (iii) exerts day to day management control. [↑](#footnote-ref-1)
2. To be completed in respect of the bidding customer. Where relevant, the Supplementary Form (which is appended to the Registration Form) should be completed in respect of any other member of a Group applying to become an ODC customer. [↑](#footnote-ref-2)
3. If the ultimate parent company is not also the bidding customer, Part 1 of the Supplementary Form must be completed in respect of the ultimate parent company. [↑](#footnote-ref-3)
4. Including any individuals in accordance with whose directions or instructions the company directors are accustomed to act [↑](#footnote-ref-4)
5. A politically exposed person (PEP) is defined by the Financial Action Task Force (FATF) as an individual who is or has been entrusted with a prominent public function [↑](#footnote-ref-5)
6. A prominent influential person (PIP) is defined by the Botswana Financial Act as a person who is entrusted with public functions within Botswana or by a foreign country or an international organisation, his or her close associates or immediate member of the family and includes —[PIP Inclusions](https://www.bocra.org.bw/sites/default/files/documents/Financial_Intelligence_%28Amendment%29_Act_2018.pdf) under page 4/21 [↑](#footnote-ref-6)
7. 7 For example, rough diamond cutting or jewellery manufacturing etc. [↑](#footnote-ref-7)
8. 8 For example rough diamond cutting or jewellery manufacturing etc. if both are subsidiaries of the same body corporate. [↑](#footnote-ref-8)
9. 9 Please treat references to “companies” in this Declaration as references to “companies” or “partnerships”. [↑](#footnote-ref-9)
10. 10 Companies are “associated” if one is a subsidiary of the other or if both are subsidiaries of the same body corporate. [↑](#footnote-ref-10)
11. 11 Directors include any individuals in accordance with whose directions or instructions the company directors are accustomed to act. [↑](#footnote-ref-11)
12. 12 To be signed by a Director or Partner. [↑](#footnote-ref-12)
13. 13 To be completed: (i) in respect of any member of a Group applying to become an ODC customer that is not the bidding customer; and (ii) the ultimate parent company of the bidding customer (where these two entities are not the same). [↑](#footnote-ref-13)
14. 14 Please indicate the Group entity that will be the bidding customer at an ODC auction. [↑](#footnote-ref-14)
15. 15 Including any individuals in accordance with whose directions or instructions the company directors are accustomed to act. [↑](#footnote-ref-15)