

**KYC Info**

KYC Refresh date:

**Basic Client Profile**

Client Name: \_\_\_\_\_

Customer CIF Number: \_\_\_\_\_

**KYC Refresh Form for Existing Corporates and NBF I Clients and Periodic Refresh**

**Requirements**

<p>1. Following documents is to be enclosed:</p> <ul style="list-style-type: none"> <li>Valid commercial registration/OCCI/ (Constitutive contract/MOA/ AOA)/ Detail of shareholders of the current company residence country</li> <li>Valid passport and valid Visa copy/Resident ID copy of the shareholders/UBOs/partners/Authorized signatories</li> <li>Proof of Income/Source of funds i.e. statement of account, audited financial statement, etc.</li> <li>Utility bill and/or Current tenancy contract</li> <li>FATCA declaration</li> <li>CRS-E / CRS-CP / CRS-I</li> <li>PEP declaration</li> <li>UBO declaration</li> <li>Sanctions undertaking form</li> </ul>		
<p>2. Provide complete information on the business in terms of the below:</p> <ul style="list-style-type: none"> <li>Business profile</li> <li>Account activity</li> <li>Shareholding and UBO/Connected Persons</li> </ul>	<p>Appendix required to be filled</p> <p>A</p> <p>B</p> <p>C</p>	<p>Appendix update completed</p> <p>YES NO</p> <p>YES NO</p> <p>YES NO</p>

**Customer Declaration:**

I/We hereby confirm that the information provided herein is accurate, correct and complete and that the documents submitted along with this application form are genuine. I undertake to inform the National Bank of Oman (“the Bank”) in writing of any changes to the information already provided and to update the information on this form whenever requested to do so by the Bank.

I/We understand and agree that this declaration is final and irrevocable, and that it is not subject to cancellation or amendments.

\_\_\_\_\_  
Authorized Signatory:

\_\_\_\_\_  
Authorized Signatory:

Name: \_\_\_\_\_

Name: \_\_\_\_\_

**APPENDIX A – BUSINESS PROFILE**

For any change in business profile or information, please provide the following information and attach the relevant documents:

<p>1. Purpose of maintaining a banking relationship with NBO</p>	
<p>2. Confirm if the company is having/looking for a credit facility/ borrowing relationship. If yes, please share the details and purpose of the credit facility.</p>	
<p>3. Company business activities and descriptions</p>	
<p>4. Type of Entity/ Legal type i.e. LLC, SAOG, SOAC, Foreign Corporate, Under Formation, Free Zone, FZC, FZE, FZCO, etc.</p>	
<p>5. Details of Compay’s line of business including goods and services that the company is dealing in:  Please elaborate and provide details.</p>	
<p>6. Countries of business operation (subsidiaries / branches / rep offices)</p>	
<p>7. How many persons are employed by the company?</p>	
<p>8. Net Income and annual turnover</p>	<p>Or attach financial statements (Income Statement or Statement of Comprehensive Income)</p>
<p>9. Net worth of the business</p>	<p>Or attach financial statements (Balance Sheet or statement of Equity)</p>
<p>10. Brief on the sources of funds and attach relevant supporting documents on the Company Source of Income.</p>	<p><b>Intra Group Financing YES NO</b>                  If yes, please attach legal documentary proof(s) with the associated company to evidence the relationship with the financing counterparty.  <b>Business Income YES NO</b>                  If yes, please attach Balance Sheet or Bank Statement or Latest Audited Financial Statement or Business Contract, etc. to evidence the business revenues.</p>

**APPENDIX A – BUSINESS PROFILE**

	<p><b>Business Loan YES NO</b> If yes, please attach contract/agreement to evidence the relationship with lending counterparts.</p> <p><b>Investment by UBO YES NO</b> If yes please provide last 12 months bank’s statements for the company’s shareholders along with their business profile/CV.</p> <p><b>External Investment YES NO</b> If yes, please attach contract/agreement to evidence source of external investment.</p> <p><b>Other Source of Funds YES NO</b> If yes, please explain and attach details i.e. contract, agreement, CR, etc.</p>
<p>11. Is the Company directly/indirectly owned/managed by a natural person residing in a sanctioned country? If yes, please provide details.  To know about the list of “Sanctioned Countries” you may contact your account Relationship Manager</p>	<p><b>YES NO</b> If yes, please provide details</p>
<p>12. Is there any business relationship and/or interest in conducting a business relationship with sanctioned countries or entities that derive any of their profit from such countries?</p>	<p><b>YES NO</b> If yes, then please; -Mention the Sanctioned Country Name  -Mention the percentage of business proceeds originated to/from Sanctioned countries  -Sign and Stamp the Sanctions Undertaking letter</p>
<p>13. Does the Company have any business dealings, business operations or business presence in any of the countries which have been highlighted by the Financial Action Task Force (FATF) as High Risk Country?</p>	<p><b>YES NO</b> If yes, then please list country name:</p>

**APPENDIX A – BUSINESS PROFILE**

Please provide details and attach documents related to the Company’s top Suppliers and Customers;

**List of Suppliers**

Counterparty Name	Counterparty Website	Country Registered	Business line/ Activities	Nature of party relationship with you	Attach any proof of relation

**List of Customers**

Counterparty Name	Counterparty Website	Country Registered (Head Quarters)	Nature of Business line/Activities	Nature of party relationship with you	Attach any proof of relation

**APPENDIX B – ACCOUNT ACTIVITY**

1. What are the expected activities of the account, please provide the details below:

% Expected type of transactions	Inwards			Outwards		
	_____% Cash	_____% Cheque	_____% Bank Transfers	_____% Cash	_____% Cheque	_____% Transfers
Expected volume of transactions (OMR) per month						
Projected Annual Account credit turnover (OMR)						
Countries transactions expected from / to	From: To:					
Estimated Annual debit turnover of the company (OMR)						
Estimated Annual Net Profit of the Company (OMR)						
Total year in business						

2. What products and services do the Company currently have from NBO? Please state in the table below:

Product	Purpose of maintaining this product with NBO

**APPENDIX C – SHAREHOLDING AND UBO**

- Group Structure – to disclose Ultimate Beneficial Owners/Shareholders (holding >=10%) - In case the shareholder (=>10% shareholding) is an entity then the list of all underlying shareholders where the diluted ownership is greater than or equal to 10% are also required until the last natural person identified.
- Please provide the data below and attach supporting documents (attach passport copies and in case Oman resident, then Oman Resident ID copies – both sides and visa page).

**APPENDIX C – SHAREHOLDING AND UBO**

Name	Nationality(ies)	Identity ID (Type & Number)	Role & Capacity	Residency Status If Oman resident, clarify who is Sponsor and relationship	Address	% Shares

- If the UBO is listed on a stock exchange domiciled in one of the following countries then no further analysis is required: Albania, Australia, Austria, Belgium, Bulgaria, Canada, China, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Indonesia, Ireland, Italy, Japan, Kuwait, Latvia, Lithuania, Luxembourg, Malaysia, Malta, Mauritius, Morocco, Netherlands, Norway, Philippines, Poland, Portugal, Romania, Singapore, Slovakia, Spain, Sweden, Switzerland, Thailand, Turkey, Sultanate of Oman, United Arab Emirates, United Kingdom and United States.

**CONNECTED PERSONS**

Name	Nationality	Residency Status If Oman resident, clarify who is Sponsor and relationship	Personal / Business Address	Contact Number/ Mobile Number & Email Address

- Any person with the authority to operate the account (attach passport copies and in case Oman resident, then Oman Resident ID copies – both sides and visa page).

CONNECTED PERSONS				
Name	Nationality	Residency Status If Oman resident, clarify who is Sponsor and relationship	Personal / Business Address	Contact Number/ Mobile Number and Email Address

- Any of the POA holders of the company (attach passport copies and in case Oman resident, then Oman Resident ID copies – both sides and visa page).

Name	Nationality	Residency Status If Oman resident, clarify who is Sponsor and relationship	Personal / Business Address	Contact Number/ Mobile Number and Email Address

- Senior Management (CEO, CFO, COO) (attach passport copies and in case Oman resident, then Oman Resident ID copies – both sides and visa page).

Name	Nationality	Residency Status If Oman resident, clarify who is Sponsor and relationship	Personal / Business Address	Contact Number/ Mobile Number and Email Address