



CID#: CID003500

Affective Period: 6/1/2022 – 5/31/2023

## UNITED STATES PATRIOT ACT/AML COMPLIANCE FORM

The United States Patriot Act is designed to detect and deter terrorists in the U.S.A and abroad. As a processor, Refiner, and Retailer of precious metals Alexy Metals adheres to the formal Anti-money laundering requirements of the U.S. Patriot Act.

Those regulations require that we accumulate and maintain certain information on all companies or individuals with which we do business. We require companies to print and return this compliance form prior to any financial transactions.

Section 352 of the United States Patriot Act requires that all "Financial Institutions" create and implement an Anti-Money Laundering (AML) Program. Subsequent modifications to the original Bank Secrecy Act of 1970, which defines what and who is classified as a "Financial Institution", now includes "Dealers in Precious Metals, Stones, or Jewels".

All information will be kept CONFIDENTIAL. Refining Lots cannot be settled for New Customers until this form is completed and returned.

Payment will only be issued to the company and its designated representative listed below. A new payee or account will require submission of a new form

COMPANY:

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ADDRESS:

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TAXPAYER IDENTIFICATION NUMBER

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ENTITY TYPE (I.E. SOLE PROPRIETOR, PARTNERSHIP, CORPORATION, OR LLC):

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ARE YOU IN COMPLIANCE WITH THE U.S. PATRIOT ACT AND ITS ANTI-MONEY LAUNDERING REGULATIONS, OR ARE YOU EXEMPT? (PLEASE SELECT ONE OF THE FOLLOWING.):

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**F-RPUR-005**

4610 Hamann Parkway  
(216) 410-8661

Willoughby, Ohio

[www.alexymetals.com](http://www.alexymetals.com)

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\_\_\_\_\_ YES, WE ARE IN COMPLIANCE WITH THE PATRIOT ACT AS IT CONCERNS OUR INDUSTRY.

\_\_\_\_\_ NO, WE ARE NOT IN COMPLIANCE WITH THE PATRIOT ACT AS IT CONCERNS OUR INDUSTRY.

\_\_\_\_\_ YES, WE ARE EXEMPT FROM THE PATRIOT ACT AS IT CONCERNS OUR INDUSTRY.

REASON FOR EXEMPTION:

\_\_\_\_\_  
\_\_\_\_\_

NAME OF COMPANY REPRESENTATIVE (PRINT):

\_\_\_\_\_

SETTLEMENT PAYMENT TO:

LIST ALL BENEFICIARIES:

\_\_\_\_\_

SIGNATURE OF COMPANY REPRESENTATIVE:

\_\_\_\_\_

DATE:

\_\_\_\_\_

**INTERNAL USE ONLY**

Reviewed By: \_\_\_\_\_ Date: \_\_\_\_\_

APPROVED

DENIED

CONDITIONAL

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