



www.novolineenergy.com

## Due- Diligence Information

### Know Your Customer Requirements

Issued to

- BUYER
- BUYERS MANDATE
- BUYER AUTHORIZED REPRESENTATIVE

**DOCUMENT NO:**

Rev2								
Rev1								
Rev 0	Mar 2017	Issued for Information		UD				UD
<b>REV</b>	<b>DATE</b>	<b>DESCRIPTION</b>		<b>ORIG</b>		<b>CHK</b>		<b>APPR</b>
<b>APPROVED BY:</b>				<b>COMPANY APPROVAL:</b>				
<b>DATE:</b>				<b>DATE:</b>				
<b>Document Control No.</b>	<b>Project</b>	<b>Area</b>	<b>Discipline</b>	<b>Type</b>	<b>Originator</b>	<b>Package</b>	<b>Sequence-Sht</b>	<b>Revision</b>
	XXX	XXX	XXX	XXX	NOVO-E	0000	XXXX-00	Rev 0

## **Contents**

1	Introduction .....	3
2	KYC Requirements.....	3
2.1	General .....	3
2.2	Information Required for Corporate Entity Verification .....	4
2.3	Information Required for Verification of Buyer Mandate or Authorized Representative.....	4
2.4	Information Required for Verification of Third Party Entity.....	5

# 1 Introduction

Know Your Customer (KYC) questionnaire provides an overview of the kinds of information that clients would be required to provide during most transactions. The goal is to provide upfront information to customers so they are better prepared with the necessary documentation upon request. These documents in turn provide the basis for due-diligence verifications, which are conducted as part of fulfilling applicable regulatory requirements. The KYC documents may be reviewed or amended depending on the unique commercial or regulatory requirements to be addressed.

In recognition of regulatory standards required for managing sensitive personal data, Novoline will only request the minimum information required for a due diligence check. The kind of information required will be based only on a need basis and will be requested only for completing the specific transaction.

## 2 KYC Requirements

### 2.1 General

All documents must be legible, and be written preferably in English or at minimum in a language based on the Latin Alphabet for ease of translation. Any documents submitted in Aramaic (i.e. Arabic / Hebrew), Logographic (i.e. Chinese), Greek / Cyrillic (i.e. Russian) Alphabets or such other non-Latin Alphabets will either be rejected or will contribute severe delays to the due diligence process, resulting in extended transaction schedule, if no other document has been provided instead.

Novoline LLC can accept electronic copies or certified color scans of the identification documents detailed in this document subject to the following specifications. Please note any documents provided electronically which are not clear, in color in accordance with the guidelines below may not be accepted.

<b>Document Required for Identity Verification</b>	<b>Document Required for Address Verification</b>
<i>Please ensure that your digital photograph or color scan clearly displays the following:</i>	<i>Please ensure that your digital photograph or color scan clearly displays the following:</i>
<ul style="list-style-type: none"><li>• All 4 corners of the document (no cropping)</li><li>• Your full name, date of birth, and current mailing address</li><li>• All details on the page (no black/blurred portions)</li><li>• ID number</li><li>• Valid issue date (document cannot be expired)</li><li>• Front and back of the ID card</li></ul>	<ul style="list-style-type: none"><li>• All four corners of the document (no cropping)</li><li>• Your full name, mailing address and date</li><li>• Official company letterhead</li><li>• Printed/mailed document</li></ul>

It is Novoline requirement to connect the entity with all natural persons that are ultimate beneficial owners, therefore if our customer is owned by multiple layers of legal persons we require due

diligence from all connected parties, firstly to establish that they are a connected party, until Novoline can establish the identity of any of and all ultimate beneficial owners that are natural persons above the threshold.

## 2.2 Information Required for Corporate Entity Verification

Company / Business Entity KYC Document Requirements	
Type of Company Incorporated	a) Limited Liability Company / Inc, b) Partnership, c) Sole Proprietorship
Company Registration <b>Document Upload</b>	a) Certificate of Incorporation; <b>or</b> b) Valid Business Registration Certificate; <b>or</b> c) Resident Registration Number (RRN); <b>or</b> d) Certificate of Registration of Overseas Company; <b>or</b> e) Certificate of Incumbency issued within 6 months in the country of incorporation (Document requirement for companies incorporated for overseas country)
Number of Shareholders <b>Document Upload</b>	a) Shareholder ID Proof copy <b>or</b> b) Shareholder passport copy
Has the company issued any authorization letter as an appointed mandate or an authorized representative as basis of your enquiry made to Novoline LLC, <b>Document Upload</b>	a) Mandate Letter or b) Authorized Document(s)
Signing contract counterparty <b>Document Upload</b>	a) Passport copy

## 2.3 Information Required for Verification of Buyer Mandate or Authorized Representative

Mandate or Authorized Representative (Company / Business Entity) Document Upload Requirements	
Type of Company Incorporated	a) Limited Liability Company / Inc b) Partnership, c) Sole Proprietorship
Company Registration <b>Document Upload</b>	a) Certificate of Incorporation; <b>or</b> b) Valid Business Registration Certificate; <b>or</b> c) Resident Registration Number (RRN); <b>or</b> d) Certificate of Registration of Overseas Company; <b>or</b> e) Certificate of Incumbency issued within 6 months in the country of incorporation (Document requirement for companies incorporated for overseas country)
Mandate Identity Proof Type	a) ID Proof <b>or</b>

<b>Document Upload</b>	b) Passport copy
Does your company hold an appointed mandate letter or authorized representation document as basis for your inquiry to Novoline LLC? <b>Document Upload</b>	a) Mandate Letter <b>or</b> b) Authorized Document(s)
<b>Mandate or Authorized Representative (Individual) Document Upload Requirements</b>	
Mandate Identity Proof Type <b>Document Upload</b>	a) ID Proof <b>or</b> b) Passport copy
Do you hold an appointed mandate letter or Authorized representation document as basis for your enquiry to Novoline LLC? <b>Document Upload</b>	a) Mandate Letter <b>or</b> b) Authorized Document(s)

#### 2.4 Information Required for Verification of Third Party Entity

<b>Third-Party (Company / Business Entity) Document Upload Requirements</b>	
Type of Company Incorporated	a) Company Limited, b) Partnership, c) Sole Proprietorship
Company Registration <b>Document Upload</b>	a) Certificate of Incorporation; <b>or</b> b) Valid Business Registration Certificate; <b>or</b> c) Resident Registration Number (RRN); <b>or</b> d) Certificate of Registration of Overseas Company <b>or</b> e) Certificate of Incumbency issued within 6 months in the country of incorporation (Document requirement for companies incorporated for overseas country)
Identity Proof Type <b>Document Upload</b>	a) ID Proof <b>or</b> b) Passport copy
Address proof requirements: A recent utility bill issued within the last 3 months <b>Document Upload</b>	a) utility bill
<b>Third-party Individual Document Upload Requirements</b>	
Identity Proof Type <b>Document Upload</b>	a) ID Proof <b>or</b> b) Passport copy
Address proof requirements: A recent utility bill issued within the last 3 months <b>Document Upload</b>	a) utility bill