

Confirmation of verification of identity form

Corporate and other non-personal entity

How to fill out this form

Please use black ink and write in CAPITAL LETTERS or tick as appropriate.

Any corrections must be initialled. Please don't use correction fluid as this will invalidate your application.

About this form

Copies of the terms and conditions and the completed application form, are available on request.

Introduction by a UK regulated firm

Part 1 – Details of customer (see explanatory notes on page 2)

Full legal name of customer

Type of entity (corporate, trust, etc)

Nature of business and/or industry

Principal place of business address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode:

Registered office in country of incorporation

<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode:

Registered number, if any (or appropriate)

Relevant company registry or regulated marketing listing authority

Part 1a – Details of director and principal beneficial owners

For all Directors and Ultimate Beneficial Owners (UBOs) (over 25%), please complete the below:

Full legal name

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Date of Birth

D	D	M	M	Y	Y	Y	Y
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Full legal name

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Date of Birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Full legal name

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Date of Birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Full legal name

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Date of Birth

D	D	M	M	Y	Y	Y	Y
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If there are more than 4 directors or UBOs, please copy this page to fill out the additional entries.

Part 2 – Confirmation

I/we confirm that:

(a) the information in Part 1 was obtained by me/us in relation to the customer;

(b) the evidence I/we have obtained to verify the identity of the customer:

- Meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG; or
- Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

Tick only one

(c) Based on the knowledge I/we have gained of the customer we have:

- No reason to believe that the tax residency self-certification requires any follow up action, or
- Reason to believe that the tax residency self-certification requires follow up action

Tick only one

If follow up action is required, please indicate why

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Position

Part 3 – Details of introducing firm (or sole trader)

Full name of regulated firm (or sole trader)

FCA reference number

Explanatory notes

- “Relevant company registry” includes other registers, such as those maintained by charity commissions (or equivalent), chambers of commerce or Trust Registration Service register.
- This form cannot be used to verify the identity of any customer that falls into one of the following categories:
 - those who are exempt from verification as being an existing customer of the introducing firm prior to the introduction of the requirement for such verification – only if their details, including beneficial ownership information, and the product range with us remain the same;
 - those who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
 - those whose identity has been verified using the source of funds as evidence – if their details, including beneficial ownership information remain the same.

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