

Obligated Person Assurance Certificate – additional Related Party form

JANUARY 2023

To: Name of accepting financial services business

From: Name of Obligated Person

Entity/Customer name (in full)

Client Number

Details of Related Party/Principal

Surname (or Entity name)

First name (and middle names)

Any other names used (this must include maiden name, former name(s) or professional name). Where not applicable please tick here

Title (Mr/Mrs/Miss/Ms)

Gender

Occupation*

Employer*

*to be completed for those persons who provided the funds to establish the Entity/Customer or currently receive or are likely to receive economic benefit.

How many nationalities does the Principal have?

Nationality 1

Passport/ID Number

Expiry date

Nationality 2

Passport/ID Number

Expiry date

Nationality 3

Passport/ID Number

Expiry date

Date of birth/incorporation

Place of birth/incorporation

Principal residential address (please include postcode). Note: a PO Box only address is not acceptable

Does the person named above hold citizenship or residency granted as a result of investment in a country?

Yes

No

If Yes, please provide details

Please advise what type of documentation you hold to verify the Principal's identity **and** the Principal's residential address. (If none is held please explain why)

Role of Principal (i.e. Shareholder, Beneficiary**, Settlor, Protector, Guarantor etc. See AC5 of the Obligated Person Assurance Certificate for full list.)

If Beneficiary**, please indicate whether they have received any benefit. Benefited Not yet benefited N/A

Please note that you **must include as a minimum the full name and date of birth for all **contingent or discretionary** beneficiaries, **any class of beneficiaries** whether **likely to benefit or not**, including any persons who are an object of a power, named in letter of wishes or other related documents.

If shareholder, % shareholding (equity) % shareholding (voting rights)

Appointment date of Principal/Date Relationship Commenced

Source of Wealth – to be completed for beneficial owners/economic contributors and any party that has links to business activities or countries included in the Investec Sensitive Country and Sensitive Business Activities list or where there is any adverse media or high risk.

Please ensure full descriptions are provided to advise how generated, 'from savings' or 'from inheritance' for example will require additional information of activity.

Below to be completed for all parties where the Entity/Customer is a Passive Non-Financial Foreign Entity (PNFFE) or a Passive Non-Financial Entity (PNFE) and for ALL Guernsey/Jersey residents regardless of entity status.

Country	TIN	Reason if no TIN
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FATCA/CRS Controlling Person? (if Entity/Customer is PNFFE/PNFE)	Yes	No
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If Yes, please provide an explanation if country/ies of tax residence and residential address do not match.

Assurance from the Obligated Person

1. We confirm we are an Obligated Person as defined by Article 16(2) of the Money Laundering (Jersey) Order 2008 as amended (MLO) and we have a business relationship with or have conducted a one-off transaction for the named Entity/Customer;
2. We confirm that we have applied the reliance identification measures specified in Article 3(2)(a) to (d) of the MLO for the named Entity/Customer;
3. We confirm that we have found out the identity of, and obtained evidence of identity for (as applicable);
 - The named Entity/Customer;
 - Each Beneficial Owner, Controller and Key Principal of the Entity/Customer;
 - Each third party for whom the named Entity/Customer is acting (and each Beneficial Owner and Controller of that third party);
 - Where a third party is a trust or limited partnership, each person who falls within Article 3 (7) of the MLO (and each Beneficial Owner and Controller of that person); and
 - Each person purporting to act on behalf of the named Entity/Customer;
4. We confirm that we have not relied on any party to apply reliance identification measures in relation to the named Entity/Customer, nor have we applied simplified measures nor any exemptions under part 3A of the MLO, that are less than equivalent to the reliance identification measures in relation to the named Entity/Customer;
5. We confirm that the information provided herein accurately reflects the customer due diligence information that we hold for the named Entity/Customer. We further confirm that the principal residential address of the Entity/Customer as well as the underlying Beneficial Owners, Controllers and Key Principals detailed in this application remains accurate and up to date;
6. We confirm that we are required to keep, and do keep, a record of evidence of identity obtained under identification measures as described in Article 3 (4) (b) of the MLO in relation to the named Entity/Customer;
7. We agree to keep a record of evidence of identity obtained under identification measures in relation to the named Entity/Customer for at least five years from the date of the end of the relationship and closure of the Entity/Customer's Account with Investec unless we have either provided Investec with all that evidence or have been notified by Investec that we must hold it for a longer period, in which case we agree to hold it until advised otherwise by Investec;
8. We agree to provide certified copies of originally certified records of evidence obtained under identification measures in relation to the named Entity/Customer without delay, if requested to do so by Investec, and undertake to exercise our best efforts to do so within two working days of the request.

This includes situations where the Entity/Customer Account has been subsequently closed;
9. We consent to Investec relying on our performance of identification measures and keeping a record of evidence of identity in relation to the named Entity/Customer;
- 10. We agree to promptly notify Investec of Material Changes to the information provided in this certificate and confirm that we have suitable controls in place to ensure that this takes place;**
11. We confirm that we have established the tax status of the Entity/Customer and we undertake to carry out the tax reporting for any Entity/Customer introduced to Investec where appropriate. We confirm that the tax affairs of the Entity/Customer are in order and that the Entity/Customer is in full compliance with all applicable tax laws;
12. We confirm that the Assurances given in clause 1-11 above also apply to any future information and evidence provided to Investec and linked to this Entity/Customer – normally by way of completed Additional Party/Additional Information forms or updated Obligated Person Certificates;
13. We confirm that we have made our clients aware that their personal data may be shared with Investec and how that personal data may be used.

For further assistance on the completion of this form please refer to the guidance in section AC5 of the Obligated Person Assurance Certificate.

Assurance to be signed by two directors/officers/authorised signatories who have the capacity to bind the Obligated Person.

Name

Name

Official position

Official position

Signature

Signature

Date

Date

For further assistance on the completion of this form please contact your Relationship Manager.

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