

Investec Bank (Channel Islands) Limited Guernsey Branch



Reliance - Additional Related Party Form

JANUARY 2023

To: Name of accepting financial services business **Investec Bank (Channel Islands) Limited ("Investec")**

From: Name of Introducer

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 explain what evidence 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 IC6 for full list.)

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

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 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 Introducer

1. The Introducer certifies that it is an Appendix C Business as defined in Schedule 3 of the Criminal Justice (Proceeds of Crime) (Bailiwick of Guernsey) Law, 1999.
2. We confirm that, in respect of this Account, we have obtained and hold the verification required to satisfy the Handbook on Countering Financial Crime and Terrorist Financing ("Handbook") issued by the Guernsey Financial Services Commission, as updated from time to time.
3. The information disclosed for this Account by the Introducer accurately reflects the information held and is being given for Account opening and maintenance purposes only.
4. We confirm that we have not relied upon any other party to apply identification measures in relation to the introduced Entity/Customer, nor have we applied simplified identification measures in relation thereto.
5. We confirm that our customer due diligence procedures and record keeping procedures are in line with the standards established in the Handbook.
6. We confirm that we are required to keep, and do keep, a record of evidence of identity obtained under identification measures in relation to each Entity/Customer for at least five years from the date of the end of the relationship and closure of the Entity/Customer's accounts unless we have either provided Investec with 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.
7. **We undertake to promptly notify Investec of Material Changes to the information provided in this form and confirm that we have suitable controls in place to ensure this takes place.**
8. We confirm that we hold originally certified copies of all the relevant documentation establishing evidence of the identity and principal residential address of each Entity/Customer as well as the underlying Beneficial Owners, Controllers and Key Principals, together with any relevant corporate, trust or foundation (legal entity) documentation as required by the applicable rules and guidance.
9. We confirm that we have enclosed originally certified copies of all relevant identification and verification documents referred to in clause 8 above. Alternatively, where otherwise agreed with Investec, certified copies of originally certified documents will be provided immediately upon request and without delay (this will include same day and no more than five days of the receipt of this request). This includes situations where the Entity/Customer account is subsequently closed subject to clause 6 above.

10. We confirm that we have established the tax status of the Entity/Customer and undertake to carry out the tax reporting for any entities introduced to Investec where appropriate. We confirm that the tax affairs of each Entity/Customer are in order and that each Entity/Customer is in full compliance with all applicable tax laws.
11. We confirm that the tax mitigation aspects of this Entity/Customer are not considered to be aggressive and where appropriate legitimate tax mitigation is in place.
12. We confirm that the Assurances given in clauses 1 to 11 apply also to any future information and evidence provided to Investec and linked to each Entity/Customer normally by way of completed Additional Party/Additional Information forms or updated Application Forms.
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.

Application and declaration signed by two directors/trustees, unless sole director/trustee, who have the capacity to bind the Company/Trust (and are preferably also authorised signatories):

Name

Name

Official position

Official position

Signature

Signature

Date

Date

For further assistance on the completion of this form please refer to the notes and guidance section in our Application Form.

Investec Bank (Channel Islands) Limited ("Investec") recognises and respects the privacy and data protection rights of individuals with regards to personal data (i.e. information that directly or indirectly identifies an individual). We may use your personal data for a number of purposes including but not limited to: providing you with services you request from us, making decisions in relation to the management of your account, for analysis and assessment and to ensure that we comply with our legal and regulatory requirements for example by detecting and preventing financial crime.

For further details as to how Investec uses personal data, please refer to our Data Protection Notice online at https://www.investec.com/en_chis/legal/UK/data-protection-notice/channel-islands.html

Investec Bank (Channel Islands) Limited, PO Box 188, Glatigny Court, Glatigny Esplanade, St Peter Port, Guernsey, GY1 3LP
 Tel: **+44 1481 723 506** Fax: **+44 1481 741 147** Email: enquiries@investec-ci.com Website: www.investec-ci.com

Investec Bank (Channel Islands) Limited, Jersey Branch, registered address:
 4th Floor, Liberation House, Castle Street, St Helier, Jersey, JE2 3BT

Investec Bank (Channel Islands) Limited, Isle of Man Representative Office place of business address:
 Second Floor, The Old Courthouse, Athol Street, Douglas, Isle of Man, IM1 1LD

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