









Related Parties – acceptable documents

Identification	Verifications	Documents Submitted	Recorded Evidence
Private Limited Company (Domestic /GBC or Foreign) – Non listed	Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document
	Proof of the Registered address not older than 3 months		
	Share Register		
Public Limited Company (Domestic /GBC or Foreign) – Listed on an approved Stock exchange as per IBM/IBL Policies	Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document
	Proof of the Registered address not older than 3 months		
	Screen print from official Recognised Stock Exchange website		
	Share register or any other acceptable document demonstrating the list of relevant shareholders		
	Copy of the latest audited financials to determine the shareholding structure and UBO with an effective interest of 20% or more singly or cumulatively for Medium and Low Clients and 10% for High Risk and Sensitive High Risk clients. KYC documents to be provided as per the entity type up to the individual UBO. “Refer to the UBO Memo note”		




Identification

Verifications

		Documents Submitted	Recorded Evidence
Partnership – Limited Partnership & Limited Liability Partnership	Copy of the partnership deed, amended or restated		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document
	Certificate of registration as a partnership		
	KYC documents for the Limited Partner up to the UBO based on the effective % shareholding of each Limited Partners as per the bank applicable threshold		
	KYC documents for the corporate entity acting as General partner		
	KYC documents on the individual controlling the General partner		
Financial Institution	Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document
	Proof of the Registered address not older than 3 months		
	Share Register or Bankers Almanac search		
	Copy of the latest audited financials to determine the shareholding structure and UBO with an effective interest of 20% or more singly or cumulatively		

Identification

Verifications

		Documents Submitted	Recorded Evidence
Fund (Non Regulated entity)	Open Ended Fund <ul style="list-style-type: none">• Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation• Private Placement Memorandum – PPM• Proof of the Registered address not older than 3 months• KYC documents for the Investors – AML/CFT questionnaire to be filled in• KYC documents on the entity/ individual controlling the Fund		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession
	Closed Ended Fund <ul style="list-style-type: none">• Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation• Private Placement Memorandum – PPM• Proof of the Registered address not older than 3 months• KYC documents for the Investors – AML/CFT questionnaire to be filled in to assess the applicable Due Diligence requirements• KYC documents on the entity/ individual controlling the Fund		Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document
Fund (Regulated entity)	Open Ended Fund <ul style="list-style-type: none">• Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation• Private Placement Memorandum – PPM• Proof of the Registered address not older than 3 months• KYC documents for the Investors – AML/CFT questionnaire to be filled in to assess the applicable Due Diligence requirements• KYC documents on the entity/ individual controlling the Fund		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession
	Closed Ended Fund <ul style="list-style-type: none">• Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation• Private Placement Memorandum – PPM• Proof of the Registered address not older than 3 months• KYC documents for the Investors – AML/CFT questionnaire to be filled in• KYC documents on the entity/ individual controlling the Fund		Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document

Identification

Verifications

Documents Submitted

Recorded Evidence

Discretionary Trust

Letter signed by the current Trustee confirming:

- The name of the Settlor
- The name of the current Trustee
- The name of the Protector (If any)
- The current trustee that they are themselves aware of the true identity of the underlying principals that there are no anonymous principals and they have adequately assessed and established the relationship between the settlor and the beneficiaries
- If any distribution has been made to any named beneficiary/ies as at date
- Details of the named beneficiaries to be included as follows:
 - Full name and Surname
 - ID /Passport number and Passport expiry date
 - Date of Birth
 - Nationality
 - current Residential address

KYC documents on the settlor/Donor, trustee, protector

- For Corporate Settlor, Donor, Protector and Trustee, the following documents to be identified and verified:
 - Corporate structure chart detailing the shareholders up to the UBO/S – ID & V up to the UBO
 - list of individual/s acting on behalf and ID & V the relevant individual/s
- Where distribution has been made to any beneficiary, the relevant KYC documents to be submitted

All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession

Dual certification is not permissible

Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document

Purpose Trust

Extract of trust deed detailing the following:

- Name of the trust
- Appointment of current trustee
- Date the trust was set up
- Registered address of the trust
- Name of the settlor
- Powers and duties of the trustee
- Nature and purpose of the trust
- Schedule of beneficiaries
- Schedule of protectors termination and signing page

Written confirmation from the current trustee that they are themselves aware of the true identity of the underlying principals that there are no anonymous principals and they have adequately assessed and established the relationship between the settlor and the beneficiaries

Letter signed by the current Trustee confirming:

- The name of the Settlor
- The name of the current Trustee
- A confirmation as to who will benefit from the trust ultimately and how the funds will be distributed

KYC documents on the settlor/Donor, trustee & Protector

For Corporate Settlor, Donor, Protector and Trustee, the following documents to be identified and verified:

- Corporate structure chart detailing the shareholders up to the UBO/S – Based on the % effective shareholding, the KYC documents is required on the shareholders up to the UBO
- List of individual/s acting on behalf and the relevant KYC documents will be required









All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession

Dual certification is not permissible

Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document

Identification

Verifications

		Documents Submitted	Recorded Evidence
Corporate Trustee, Founder, Settlor, Director and Signatory	Certificate of incorporation / any certificate of change on name or any acceptable Proof of Legal existence of the country of incorporation <hr/>		All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term "Certified true copy of the original", date, his name, address, phone number and profession Dual certification is not permissible Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document
	Any relevant licence to operate <hr/>		
	Share Register <hr/>		
	Register of Directors <hr/>		
	Organogram detailing the shareholding structure up to the Ultimate Beneficial Owner with the relevant % shareholding duly signed by the company secretary or Registered Agent or any other professional person (Lawyer, Accountant or Notary) The following declaration must be included: We confirm that the structure chart is accurate and representative of the "Name of the client" We also confirm: Either: There are no nominees within the structure and the actual UBO has been disclosed and verified Or: All nominees have been duly identified with the relevant parties up to the UBO have been identified and verified <hr/>		
	Extract of the Resolution of the entity confirming the list of authorized persons to act on its behalf and the relevant KYC documents to be provided on the individuals <hr/>		
	KYC documents on the shareholders up to the UBO, directors or persons acting on behalf of the entity <hr/>		
Charitable /Non Charitable Foundation	The foundation charter <hr/>		
	Certificate of Registration "where applicable" <hr/>		
	Proof of the source of funding or list of significant donors <hr/>		
	KYC documents on the Founder, Council members, officers of the foundation, the protector and beneficiaries <hr/>		

Identification

Verifications

Individuals (Customer or Related Party "Director, signatory, shareholder, online user, settlor, beneficiary, Trustee, Protector, Founder, etc)

Clear and legible identification documents:

- Current valid passport
- National Identity Card
- Current valid Driving License

Acceptable Proof of current residential address in name of the individual dated less than 3 months as follows:

- Utility bill: Water, Electricity, Gas and Telephone bill
- Bank statements
- Credit card statements
- Bank Reference letter from a reputable Financial Institution (not older than 3 months old) confirming the identity and current residential address of the applicant from the country of residence
- Alternate to proof of address

For UK Residents Only:

Driving licence issued by the UK Authority

The document cannot be used as a dual purpose one (as an Id & Proof of current residential address at the same time)

Cv or detailed brief of the professional background including the work employment history or business experience of the prospective Client

Documents Submitted



Recorded Evidence

All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term "Certified true copy of the original", date, his name, address, phone number and profession

Dual certification is not permissible

Where documents are in a foreign language other than the official language the Group relied on, a translated version need to be provided for identification and verification purposes. The name, capacity and contact details of the certifier should be affixed to the translated document

The document can be certified or non-certified

