

# Private Individual

## Confirmation of verification of identity

Introduction by regulated firm

### To be completed by the IFA

Please complete this form in BLOCK CAPITALS and in BLACK INK, ticking boxes where appropriate.

**1. Details of individual** **Please see explanatory notes overleaf**

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_ Date of birth 

d	d	m	m	y	y
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 Male  Female

Surname \_\_\_\_\_

Full forename(s) \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Postcode \_\_\_\_\_

Telephone number (daytime) 

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Previous address if individual has changed address in the last three years \_\_\_\_\_

Postcode \_\_\_\_\_

Nationality \_\_\_\_\_

Citizenship \_\_\_\_\_

Nature of business/occupation \_\_\_\_\_

**2. Joint holders** **Please see explanatory notes overleaf**

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_ Date of birth 

d	d	m	m	y	y
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 Male  Female

Surname \_\_\_\_\_

Full forename(s) \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Postcode \_\_\_\_\_

Telephone number (daytime) 

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Previous address if individual has changed address in the last three years \_\_\_\_\_

Postcode \_\_\_\_\_

Nationality \_\_\_\_\_

Citizenship \_\_\_\_\_

Nature of business/occupation \_\_\_\_\_

**I/We confirm that:**

- a) the information in Section 1 and Section 2 above was obtained by me/us in relation to the customer;
- b) the payment has come from a bank account in the name of the customer(s);
- c) if from another source, the payment has come from a bank account in the name of the provider;
- d) the evidence I/we have obtained to verify the identity of the customer:  
meets the standard evidence set out within the guidance Notes for the UK Financial Sector issued by JMLSG 2017.
- e) before providing any personal data I/we have provided a copy of the following [Data Protection Notice](#).

Signature	Date
Full name	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Position	<input type="text"/>

## 4. Details of introducing firm (or sole trader)

Full name of regulated firm (or sole trader)

Local regulator (e.g. FCA, FSC)

Financial Services Register reference number

**Notes**

For joint cases, the identity of both individuals needs to be verified.

1. Where a third party is involved, e.g. a payer of contributions who is different the customer, the identity of that person must also be verified, and a Confirmation of Verification of Identity completed.
2. This confirmation must carry an original signature, or an electronic equivalent.
3. 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 client of the introducing firm prior to the introduction of the requirement for such verification;
  - Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
  - Those whose identity has been verified using the source of funds as evidence.

If any of the above in point 3 apply, please contact us before proceeding.

**Please return the completed and signed Application Forms to:** Investec Structured Products, PO Box 914, Newport NP20 9PE