

Introducer Certificate – additional Related Party form

To: Name of accepting financial services business

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)

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 Nationality 2 Nationality 3

Passport/ID Number Expiry date

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Passport/ID Number Expiry date

Date of birth/incorporation Place of birth/incorporation

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

Please explain what evidence you hold to verify the Principal's identity? If none is held please explain why.

Please explain what evidence you hold to verify the Principal's residential address? If none is held please explain why.

Role of Principal (if the Principal is a Beneficiary of a trust or foundation please also provide the relationship to the Settlor or Founder and also state whether they are vested or non-vested).

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

Appointment date of Principal/Date Relationship Commenced

FATCA/CRS Controlling Person? (if Entity/customer is PNIFFE/PNFE) Yes No

If yes, please provide an explanation if country/ies of tax residence and residential address do not match

Include country/ies of tax residence and Tax Identification Number/functional equivalent if Entity/Customer is a Passive Non-Financial Foreign Entity (PNIFFE) or a Passive Non-Financial Entity (PNFE)

Country	TIN	Reason if no TIN
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

If the additional party is an economic contributor please provide a detailed explanation of Source of Wealth, including jurisdictions and industries and confirm how this has been corroborated.

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.

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7. **We undertake 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 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 8. above. Alternatively, where otherwise agreed with Investec, certified copies of originally certified documents will be supplied upon request without delay (normally within 5 days of the receipt of this request, or in exceptional circumstances, on demand and without delay). 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 Assurance given in clauses 1–11 apply to any future information and evidence provided to Investec by way of a completed Additional Party form or updated Introducer Certificate.

Signature

Print name

Official position

Date

Signature

Print name

Official position

Date

For further assistance on the completion of this form please refer to the guidance in section IC6 of the Introducer Certificate, Guernsey Branch.

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