

Obligated Person Assurance Certificate – additional Related Party form

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

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)

Title (Mr/Mrs/Miss/Ms)

Gender

Occupation

Employer*

*to be completed for those persons who provided the funds to establish the Client/Entity 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

Passport/ID Number

Expiry date

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/foundation please also provide the relationship to the or Founder – and whether they are vested or non-vested)

Investec Bank (Channel Islands) Limited
(the Relevant Person), Jersey Branch

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

Appointment date of Principal/Date Relationship Commenced

FATCA/CRS Controlling Person? (if Entity/customer is PNFFE/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 (PNFFE) 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.

Investec Bank (Channel Islands) Limited (the Relevant Person), Jersey Branch

Assurance from the Obligated Person

1. We confirm we are an Obligated Person as defined by Article 16(1) of the Money Laundering (Jersey) Order 2008 (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 identification measures specified in Article 3(2)(a) to (c) 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 identification measures in relation to the named Entity/Customer, nor have we applied simplified 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;
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 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/Customers Account unless we have either provided the Relevant Person with all that evidence or have been notified by the Relevant Person that we must hold it for a longer period, in which case we agree to hold it until advised otherwise by the Relevant Person;
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 the Relevant Person, and undertake to exercise best efforts to do so within 5 working days of the request; or in exceptional circumstances, on demand and without delay. This includes situations where the Entity/Customer Account has been subsequently closed;
9. We consent to the Relevant Person 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 the Relevant Person of Material Changes to the information provided in this certificate and confirm that we have suitable controls in place to ensure 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 the Bank 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 tax mitigation aspects of each Entity/Customer are not considered to be aggressive and where appropriate legitimate tax mitigation is in place;
13. We confirm that the Assurances given in clauses 1–12 above also apply to any future information and evidence provided to the Relevant Person and linked to this Entity/Customer – normally by way of completed Additional Party forms or updated Obligated Person Assurance Certificates.

For further assistance on the completion of this form please refer to the guidance in section AC6 of the Obligated Person Assurance Certificate.

Investec Bank (Channel Islands) Limited (the Relevant Person), Jersey Branch

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

Signature

Print name

Official position

Date

Signature

Print name

Official position

Date

To be completed by Investec Bank (Channel Islands) Limited (the Relevant Person)

I have reviewed the information provided on this certificate and confirm that the information provided relating to this customer meets the requirements of our customer acceptance policy.

Signature

Print name

Official position

Date

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For further details as to how Investec uses your information including how to contact us should you have queries, please refer to our Data Protection Notice on <https://www.investec.com/ibci-dataprotection>

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