Confirmation of Verification of Identity Corporate and other Non Personal Entity Introduction by an FSA Regulated Firm

James Hay

JHAY0787

Application Guide

Please complete this form in BLOCK CAPITALS and black ink.

1 Details of Customer (see explanatory notes)

Applicant to complete

Full name of customer

Type of entity (corporate, trust, etc)

Location of business (full operating address)

Post Code

Registered office in country of incorporation

Post Code

Registered number (if any, or if appropriate)

Relevant company registry or regulated market listing authority

Names of directors (or equivalent)

Names of principal beneficial owners (over 25%)

Post Code

2 Confirmation

Applicant to complete

I/we confirm that

a) the information in Section 1 above was obtained by me/us in relation to the customer;

b) the evidence I/we have obtained to verify the identity of the customer (please tick one only):

Meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG; **or** ☐

Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation) ☐

Signature

Name

Position

Date D D M M Y Y Y Y

3 Details of Introducing Firm (or Sole Trader)

Applicant to complete

Full name of introducing firm (or sole trader)

FSA reference number

Explanatory Notes

1. 'Relevant company registry' includes other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.
2. 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.
3. This confirmation must carry an original signature, or electronic equivalent.

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