

Compliance Guidelines- Corporates

If you have any queries when completing the form, please refer to the information below which gives additional guidance about each section.

1. APPLICATION FORM

INFORMATION ON THE SUBSCRIBER SECTION:

→ **Company name:**

This is the Registered Name of the enterprise.

→ **Contact person:**

This is the first and last name of the representative and signatory on behalf of the Company.

→ **Address:**

This is the address of the Registered Office.

→ **Email and Phone number:**

Contact details where we would be able to contact the authorised representative of the Company. This is the email address where you would like any correspondence such as statements to be sent.

SOURCE OF WEALTH

Kindly provide a description of how the wealth of the company was accumulated (ex. Trading profits, loans received, contributions, transfer of assets, dividends from subsidiaries, investment income etc...)

BENEFICIAL OWNER

Hereby declares that the partnership(s)/legal entity/ies listed below is/are the beneficial owner(s) of the assets deposited.

N.B. Refer to Appendix II with regards to the definition of Ultimate Beneficial Owner

FATCA AND CRS Declaration Form

Please provide again the identification data of the company, besides, confirm the country where it is registered for tax purposes, as well as the Tax Identification Number (TIN) for each country.

The TIN is a combination of letters and/or numbers assigned to the individual by their country of residence (or its tax authorities). Please note, we are not able to provide tax advice or help in defining your tax residency. If you are unsure of your tax residency, please contact your tax adviser or local tax authority.

2. ANEXXURE 1

FATCA AND CRS Declaration Form for UBO(s)

Please provide the identification data of the UBO(s) and confirm the country where the UBO is registered for tax purposes, as well as the Tax Identification Number (TIN) for each country.

The TIN is a combination of letters and/or numbers assigned to the individual by their country of residence (or its tax authorities). Please note, we are not able to provide tax advice or help in defining your tax residency. If you are unsure of your tax residency, please contact your tax adviser or local tax authority.

PEP DECLARATION FORM

Please provide details of any prominent public functions that the UBO, a family member or a close associate hold, or have held with a state or international body/organization. Please refer to the definition of a PEP included in the PEP declaration form.

3. ANEXXURE 2

PEP DECLARATION FORM

Please confirm whether any of the beneficiaries and or agents or any other involved individual fall under the definition of a Politically Exposed Person (“PEP”) (*guidance of the definition of a PEP is included in the PEP declaration form*) and provide the relevant details of any prominent public functions the respective individual, a family member or a close associate holds presently, or have held with a state or international body/organization for a subsequent 12 month period from when the individual ceased to be a PEP).

4. DEALING ORDER FORM

SUBSCRIBER INFORMATION

→ **Company name:**

This is the Registered Name of the enterprise.

→ **Contact person:**

This is the first and last name of the representative and signatory on behalf of the Company.

→ **Address:**

This is the address of the Registered Office.

→ **Email and Phone number:**

Contact details where we would be able to contact the authorised representative of the Company. This is the email address where you would like any correspondence such as statements to be sent.

→ **Date of incorporation:**

Date of first Registration of the Company.

SUBSCRIPTION INFORMATION

- **Subscription amount:** Please state the total amount to be invested as well as the currency of the funds.
- **Subscription in kind:** If the subscription is going to be in kind, please be aware that you need to provide an independent valuation report of the asset to be subscribed in-kind. The report must be prepared by a third company and it has to be updated, coinciding with the date of the subscription.

Additionally, for audit purposes of the Fund(s), at the end of each year you would need to send us an updated valuation report of the asset.

- **IBAN:** Please state the bank account from which the funds would be transferred. Be aware that future redemptions will always be transferred to the same bank account from which the funds were originally sent to execute the subscription. If, for any reason, this bank account needs to be closed, you need to inform us.

SOURCE OF FUNDS DECLARATION

Please confirm the source of the funds and provide us with the supporting documentary evidence for the declared source of funds. For each subscription made, a description on the source of funds used for the investment for example, earning from occupation or employment, investment income, inheritance, activity or event etc., together with supporting documentary evidence for the declared source of funds, must be provided. Please tick the most appropriate origin of the funds.

Kindly also refer to Appendix U below.

INVESTMENT PROFILE

Please provide information about the expected time to maintain the investment.

5. QUALIFYING INVESTOR DECLARATION FORM

- Please state the investor name and confirm the type of Business provided by the Company, experience and knowledge to be in a position to make my / our / his / her / their own investment decisions and understand the risks involved.

6. DUE DILIGENCE DOCUMENTATION REQUIRED FOR APPROVAL OF THE INVESTMENT
(refer to section 8. Required due diligence documentation to approve the investment):

- Certified true copy of identification documents:
- Certified Authorized signatory list.
- Certified AML Comfort letter (if applicable); and
- Certificate of Incorporation / Registration; and
- Original Good Standing Certificate not older than one (1) month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated; and either Latest Memorandum and Articles of Association available including and changes made thereto and to include (i) the present Shareholders and (ii) the present Directors and their powers and in the case of a Partnership, the most recent version of the Partnership Agreement; or Shareholder's Register and Director's Register, or Register of Partners in the case of Partnerships, and their legal powers certified by the Company Secretary, Director(s), or Registrar of Companies (in the case that the M&A does not include a list of the present Shareholders and present Directors and their powers)

Documents required for the Ultimate Beneficial Owners

- ✓ **For Passports** – ensure you photocopy the pages of the passport carrying the photograph, signature, issue and expiry date.
- ✓ **For National ID cards** - please photocopy both sides of the original document in the same page.
- ✓ **Proof of your residential address**- Residential address can be confirmed by supplying one of the following documents:
 - Bank statement (of an active account)
 - Utility Bill issued in relation to services linked to the residential property that is less than 6 months old, ie Gas, Electricity, Water or Telephone; (mobile phone bills are not acceptable); Bank Reference Letter
 - Correspondence from a central or local government authority, department or agency, an official conduct certificate (in this case please provide the original document) or
 - Any other government-issued document.

Please either supply the original document, or if you prefer, you can photocopy both sides of the document and provide us with Lawyer's/Notary's Certification before submitting to us. The documents listed above can be used as proof of Residential address, however, the same document cannot be used as both proof of identity and proof of residential address – two separate documents must be supplied.

7. CERTIFICATION, TRANSLATION AND APOSTILLE OF DOCUMENTS

Translation of documents.

Please note that all documentation must be provided in English, therefore any documentation which is in any language other than English must also be (i) duly certified in line with the below instructions **and** (ii) officially translated. Any documents being translated should be translated by an independent person of proven competence and must state in writing:

“The document is a faithful translation of the original”

Date of translation;

Signature of translator; and

Full name and contact details of the translator.

Certification of documents.

The certifier will need to write the following statement and include the following information:

- ✓ ID Card Duly Certified:

“I, xxxxxxx (Lawyer’s / Notary’s name), do certify that the present is a true copy of the original and that the photo is true likeness of xxxxxxx” (name of the investor)”

Signature

Name/Surname of Lawyer/Notary

Address of the Law firm

Date

Company stamp

- ✓ Utility Bill Duly certified:

“I, xxxxxxx (Lawyer’s / Notary’s name), do certify that the present is a true copy of the original invoice.”

Signature

Name/Surname of Lawyer/Notary

Address of the Law firm

Date

Company stamp

Apostilled documents.

Documentation of individuals residing outside the EU / EEA need to be apostilled.

WARNINGS:

Dear Investor,

Kindly consider the below statements to proceed with the subscription request:

- *The Sub-Fund is only available to Qualifying Investors as defined in the Offering Memorandum. Accordingly, the investors in the Sub-Fund are subject to a minimum investment requirement of EUR 75,000, or the EUR equivalent of USD 75,000, for [Class A/ Class B ... - EUR/USD/etc] -each sub-fund has its specifications in terms of classes, currencies, etc...- Capitalisation Participating Shares and an absolute minimum holding requirement of EUR 75,000, or the EUR equivalent of USD 75,000. The amount invested cannot fall below this amount except in so far as this is due to a reduction in the Sub-Fund's NAV. Once the minimum investment requirement is satisfied, investors can make additional investments in the Sub-Fund of an amount of not less than EUR 1,000 in respect of [Class A/ Class B ... - EUR/USD/etc] -each sub-fund has its specifications in terms of classes, currencies, etc...- Capitalisation Participating Shares or currency equivalent.*
- *In the case of joint-investors, each investor should individually satisfy the definition of a "Qualifying Investor".*
- *If the requirements above are complied, please note that the completed subscriptions forms as well as the due diligence documentation need to be sent together to the Administrator, by courier and by fax or email, to the following address:*

Trident Fund Services Malta Limited

Orange Point Building, Second Floor, Dun Karm Street, Birkirkara By-Pass,
Birkirkara, BKR 9037, Malta

Tel: +356 21 434525/ Fax: +356 21 434595

Email: audentiacapital@tridenttrust.com

- Please proceed to transfer the funds detailed in your Request to the bank account indicated in the Subscription Forms already filled in. Please note that the Subscription will not be accepted until the funds have arrived at the bank account and the due diligence process has been completed.
- Please note that your subscription will be accepted and the Contract Note issued once all the steps described above have been properly undertaken and approved by Trident (the Funds' Administrator) and subject to the satisfactory conclusion of the due diligence process.
- Please note that if the funds transferred are not coming from the company's bank account, it would be considered as Third-Party Payment. Consequently, the funds will

be returned, and the subscription will be not accepted until the Funds are transferred again from a bank account belonging to the Corporate that has submitted the Request unless the company provides enough information and the supporting documentation of both companies' relationship.

- In addition, kindly note that your application will be denied if the information provided is not correctly certified or if the Subscription Forms are not correctly fulfilled. In that case, you will receive an email by the Administrator specifying the main error of the subscription documents.
- In the case the Investor would like to redeem the shares, *Shareholders may redeem their Investor Shares in accordance with the Offering Supplement of the Fund.*
- *Shares shall be redeemed at the price corresponding to the Net Asset Value per Share on the Valuation Day corresponding to the relevant Dealing Day. Requests to redeem Shares received after the aforementioned date shall be redeemed at the price corresponding to the next Valuation Day.*
- *Payment of redemption proceeds will generally be made by wire transfer to the Shareholder's account no later than fifteen Business Days from the applicable Dealing Day. Any bank transfer fees shall be borne by the Shareholder.*
- *Investors are referred to the Offering Memorandum where the procedures relating to the redemption of Shares and the conditions applicable thereto are described in further detail.*
- No redemption requests will be accepted if the request does not come from the same corporate that executed the subscription. For example, if the Subscriber is a Corporate, that company as well as the bank account of that company from which the funds were initially transferred will have to remain in place during all the life of the investment. Redemptions will always be transferred to the original bank account that funds were originally sent from to execute the subscription.

CERTIFICATION AND TRANSLATION OF DOCUMENTS

Please note that all documentation is to be provided in English, therefore any documentation which is in any language other than English must also be (i) duly certified in line with the below instructions and (ii) officially translated. Any documents being translated should be translated by an independent person of proven competence and must state in writing:

"The document is a faithful translation of the original"

Date of translation;

Signature of translator; and

Full name and contact details of the translator.

8. REQUIRED DUE DILIGENCE DOCUMENTATION TO APPROVE THE INVESTMENT

A. Ultimate Beneficial Owners and Agents

1. Certified true copy of a valid government issued identification documents containing a photographic image. One of the documents must contain the residential address (please mark which documents are being provided):
 - Passport
 - National or other government-issued Identity Card
 - Residence Card
 - Driving Licence Card
 - Other document not being government issued but recognised by a government authority as a valid means of identification and bears a photographic image (such as a Bank ID Card)

2. Original or certified true copy of one of the following documents not older than six (6) months (please mark which document is being provided):
 - Bank statement (of an active account)
 - Utility Bill issued in relation to services linked to the residential property (i.e. fixed line telephone, water...)
 - Bank Reference Letter
 - Correspondence from a central or local government authority, department or agency
 - An official conduct certificate (in this case please provide the original document)

 - Any other government-issued document not mentioned under point (1) above

B. Non-Regulated Private Companies / Public non-listed

- i. Certified Copy of Incorporation / Registration
- ii. Certified Copy of the latest Memorandum and Articles of Association including any changes made thereto and to include (i) the present Shareholders and (ii) the present Directors and their powers and in the case of a Partnership, the most recent version of the Partnership Agreement

OR

Certified Copy of Register of Shareholders/Members - not older than 1 month (in the case that the M&A does not include a list of the present Shareholders)

OR

Certified Copy of Register of Directors not older than 1 month (in the case that the M&A does not include a list of the present Directors and their powers)

N.B details to be provided in the Register shall include:

- i. *Official Full name of individual*
 - ii. *Place and date of birth of the individual*
 - iii. *Permanent residential address of the individual*
 - iv. *Identification number*
 - v. *Nationality*
-
- iii. Certified Copy of Certificate of Good Standing or Incumbency not older than 1 month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated
 - iv. Due Diligence of the Ultimate Beneficial Owner(s);
 - v. Due Diligence of the Agent(s)
 - vi. Due Diligence of all the Directors
 - vii. Ownership structure chart
 - viii. An explanation of the ownership and control structure
 - ix. Declaration from any persons who exercise control over the management of the company, if applicable
 - x. A Resolution of Board of Directors authorising the appointed attorneys as the 'authorised signatories' to apply for Investor Shares in a Fund and to give instructions with respect to such shares.
 - xi. Source of Wealth & Source of Funds Declaration
 - xii. PEP declaration
 - i. Investor Profile Form which is part of the Subscription Form
 - xiii. Certified Copy of Authorised Signatory List - clearly stating the signatory power and designation of the signing party
 - xiv. Self-Certification Form
 - xv. Subscription Application form
 - xvi. Dealing Form
 - xvii. Certified Copy of Latest three audited accounts/Financial Statements of the Company
- C. Listed companies on a reputable market (*its securities admitted to trading on a regulated market*) investing in its own name and not acting as nominee or providing fiduciary services**
- i. Certificate of incorporation/Registration;
 - ii. Original Good Standing Certificate not older than 3 months
 - iii. Proof of Regulation or of Listing
 - iv. Certified Copy of Authorised Signatory List - clearly stating the signatory power and designation of the signing party
 - v. PEP declaration
 - ii. Investor Profile Form which is part of the Subscription Form

- iii. Dealing Form
- vi. Self-Certification Form
- vii. Subscription Application form
- viii. Source of Funds and Wealth declaration
- ix. Due Diligence on the Agent(s)

D. Regulated Credit or Financial Institutions acting as Nominee or providing fiduciary services investing on behalf of third parties

- i. Proof of Authorisation/Licence
- ii. AML Comfort Letter including the following:
- iii. Undertaking that CDD information and documentation on the underlying investors will be made immediately available upon request and by no later than two working days from the request made by the Company
- iv. Certified Copy of Authorised Signatory List - clearly stating the signatory power and designation of the signing party
- v. Investor Profile Form which is part of the Subscription Form
- vi. Dealing Form
- vii. Self-Certification form
- viii. Subscription Application form
- ix. Source of Funds and Wealth declaration
- x. Due Diligence on the Agent(s)
- xi. PEP Declaration

E. Trustees/Trust

N.B. please refer to Appendix II with regards to who falls under the definition of 'Beneficiaries' in the case of Trusts

(a) The Trust

- i. Certified true copy of the Constitutive Statute/Deed/Instrument including and changes made thereto or an authenticated relevant extract of the Trust Deed and to include:
 - a. The nature, purpose and terms of the Trust;
 - b. The names of the Settlor(s) who set-up the Trust;
 - c. The constitutive assets with which it was set-up (the initial settlement);
 - d. The details of the Trustee(s) and their power and duties;
 - e. The details of the Protector, member of supervisory council, guardian or enforcer, if any, and their respective powers and duties; and

- f. The Beneficiaries or the class of persons in whose main interest the Trust has been set up and the extent of the rights that each beneficiary holds with respect to the property and asset of the Trust.
- g. Country of administration and the proper (or applicable) law

In the case that points (b), (e) and (f) above are not provided for in the Constitutive Document or relevant extract or new Beneficiaries have been added, a signed declaration signed by the Trustee providing the details of the Settlor, Protector and Beneficiaries are to be provided accordingly.

- ii. Certificate of Registration (applicable for trusts which have a legal personality)
- iii. Details of the Beneficiaries to include:
 - a) *Official Full name of individual*
 - b) *Place and date of birth of the individual*
 - c) *Permanent residential address of the individual*
 - d) *Identification number*
 - e) *Nationality*
- iv. Detail of any other natural person exercising ultimate control over the trust by means of direct or indirect ownership, or by other means
- v. Ownership structure chart
- vi. An explanation of the ownership and control structure

(b) Beneficiaries who are **body corporates, bodies of persons or legal arrangements:**

- The Trustee
 - i. Certified true copy of the Certificate of Incorporation / Registration
 - ii. Certified true copy of the Trustee Licence/Authorisation issued by the relevant Authority or any relevant document to confirm whether the Trustee (or the person acting as Trustee) is exempt from being regulated
 - iii. Authorised Signatory List - clearly stating the signatory power and designation of the signing party
 - iv. Due diligence of the Directors and Authorised Signatories
- The Settlor, Protector (or members of a supervisory council, guardian or enforcer)
 - i. Certified Copy of Incorporation / Registration
 - ii. Certified Copy of the latest Memorandum and Articles of Association including any changes made thereto and to include the present Directors and their powers

OR

Certified Copy of Register of Directors not older than 1 month (in the case that the M&A does not include a list of the present Directors and their powers)

N.B details to be provided in the Register shall include:

- i. *Official Full name of individual*
 - ii. *Place and date of birth of the individual*
 - iii. *Permanent residential address of the individual*
 - iv. *Identification number*
 - v. *Nationality*
-
- iii. Certified Copy of Certificate of Good Standing or Incumbency not older than 1 month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated
 - iv. Due Diligence of all the Directors/Authorised signatories
 - v. Certified Copy of Authorised Signatory List - clearly stating the signatory power and designation of the signing party
-
- Beneficiaries or class of beneficiaries (when identified)
- i. Certified Copy of Incorporation / Registration
 - ii. Certified Copy of the latest Memorandum and Articles of Association including any changes made thereto and to include (i) the present Shareholders and (ii) the present Directors and their powers
- OR**
- Certified Copy of Register of Shareholders/Members - not older than 1 month (in the case that the M&A does not include a list of the present Shareholders)
- OR**
- Certified Copy of Register of Directors not older than 1 month (in the case that the M&A does not include a list of the present Directors and their powers)
- N.B details to be provided in the Register shall include:*
- i. *Official Full name of individual*
 - ii. *Place and date of birth of the individual*
 - iii. *Permanent residential address of the individual*
 - iv. *Identification number*
 - v. *Nationality*
-
- iii. Certified Copy of Certificate of Good Standing or Incumbency not older than 1 month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated
 - iv. Due Diligence of the Ultimate Beneficial Owner(s);
 - v. Ownership structure chart
 - vi. An explanation of the ownership and control structure

- vii. Declaration from any persons who exercise control over the management of the company, if applicable

(c) Beneficiaries who are **natural persons**:

- The Settlor, Trustee(s), Protector (or members of a supervisory council, guardian or enforcer), Beneficiaries or class of beneficiaries (when identified) and any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means
 - i. Certified Copy of two government issued identity documents such as a Passport, Identity Card and/or Driving License, one of which must contain details of the residential address
 - ii. Certified Copy of Proof of Address (not older than 6 months) for example a utility bill or bank statements. In the case that a utility bill is provided, this should be issued in relation to services linked to the residential property.

(d) Additional documentation to be provided:

- i. Declaration by the Trust/Trustee to inform the Company of any changes to the beneficial owners.
- ii. Source of Wealth Declaration Form
- iii. Source of Funds Declaration Form
- iv. Investor Profile Form which is part of the Subscription Form
- v. Self-Certification form
- vi. Subscription Form
- vii. Dealing Form
- viii. PEP declaration

F. Foundations / Associations

N.B. please refer to Appendix II with regards to who falls under the definition of 'Beneficiaries' in the case of Foundations/Associations

(a) Foundations

- i. Confirmation of Registration (Registration Certificate or equivalent);
- ii. Certified true copy of the most recent version of the Constitutive Statute/Deed/Instrument including and to include:
 - a. The purpose or objects of the Organisation
 - b. The names of the Founder(s) who endowed the Organisation
 - c. The composition of the Board of Administrator(s)
 - d. The legal and judicial representation of the organisation if such powers have been granted to a third party (please provide certified copies of the resolution(s) and/or written Power of Attorney), if applicable

- e. The Beneficiaries or the class of persons in whose main interest the Organisation is set up or operates and the extent of the rights that each beneficiary holds with respect to the property endowed in the Organisation.

In the case that point (b) and (e) above are not provided for in the most recent Constitutive Document or new Beneficiaries have been added, a certified true copy of the Beneficiary Statement(s) is/are to be provided accordingly including the details of the Founder.

- iii. Authorised Signatory List - clearly stating the signatory power and designation of the signing party
- iv. Certified true copy of Audited financial statements, annual returns and/or tax returns for the previous or current year
- v. Detail of any other natural person exercising ultimate control over the foundation by means of direct or indirect ownership, or by other means
- vi. Ownership structure chart
- vii. An explanation of the ownership and control structure
- vii. Details of the Beneficiaries to include:
 - a) *Official Full name of individual*
 - b) *Place and date of birth of the individual*
 - c) *Permanent residential address of the individual*
 - d) *Identification number*
 - e) *Nationality*

(b) Associations

- i. Confirmation of Registration (Registration Certificate or equivalent);;
- ii. Certified true copy of the most recent version of the Constitutive Statute/Deed/Instrument including and changes made thereto and to include:
 - a. The purpose or objects of the Organisation
 - b. The names of the Founder(s) who endowed the Organisation, if any
 - c. The method or process by which membership of the associations is granted to applicants
 - d. The composition of the Board of Administrator(s)
 - e. The legal and judicial representation of the organisation if such powers have been granted to a third party (please provide certified copies of the resolution(s) and/or written Power of Attorney), if applicable

In the case that point (b) and (e) above are not provided for in the most recent Constitutive Document or new Beneficiaries have been added, a certified true copy of the Beneficiary Statement(s) is/are to be provided accordingly including the details of the Administrator

- iii. Authorised Signatory List - clearly stating the signatory power and designation of the signing party



- iv. Certified true copy of Audited financial statements, annual returns and/or tax returns for the previous or current year
- viii. Certified true copy of Audited financial statements, annual returns and/or tax returns for the previous or current year
- ix. Detail of any other natural person exercising ultimate control over the foundation by means of direct or indirect ownership, or by other means
- x. Ownership structure chart
- viii. An explanation of the ownership and control structure
- ix. Details of the Beneficiaries to include:
 - a) *Official Full name of individual*
 - b) *Place and date of birth of the individual*
 - c) *Permanent residential address of the individual*
 - d) *Identification number*
 - e) *Nationality*

(c) Beneficiaries who are **body corporates, bodies of persons or legal arrangements:**

- The Founder, Administrator(s), Protector (or members of a supervisory council, or guardian)
 - i. Certified Copy of Incorporation / Registration
 - ii. Certified Copy of the latest Memorandum and Articles of Association including any changes made thereto and to include the present Directors and their powers

OR

Certified Copy of Register of Directors not older than 1 month (in the case that the M&A does not include a list of the present Directors and their powers)

N.B details to be provided in the Register shall include:

- vi. *Official Full name of individual*
- vii. *Place and date of birth of the individual*
- viii. *Permanent residential address of the individual*
- ix. *Identification number*
- x. *Nationality*
- iii. Certified Copy of Certificate of Good Standing or Incumbency not older than 1 month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated
- iv. Due Diligence of all the Directors/Authorised Signatories
- v. Certified Copy of Authorised Signatory List - clearly stating the signatory power and designation of the signing party

- Beneficiaries or class of beneficiaries (when identified)
 - i. Certified Copy of Incorporation / Registration
 - ii. Certified Copy of the latest Memorandum and Articles of Association including any changes made thereto and to include (i) the present Shareholders and (ii) the present Directors and their powers

OR

Certified Copy of Register of Shareholders/Members - not older than 1 month (in the case that the M&A does not include a list of the present Shareholders)

OR

Certified Copy of Register of Directors not older than 1 month (in the case that the M&A does not include a list of the present Directors and their powers)

N.B details to be provided in the Register shall include:

- vi. *Official Full name of individual*
 - vii. *Place and date of birth of the individual*
 - viii. *Permanent residential address of the individual*
 - ix. *Identification number*
 - x. *Nationality*
- iii. Certified Copy of Certificate of Good Standing or Incumbency not older than 1 month issued by the Registrar of Companies to include confirmation that the Company has not been, and is not in the process of being dissolved, struck off, wound up or terminated
 - iv. Due Diligence of the Ultimate Beneficial Owner(s);
 - v. Ownership structure chart
 - vi. An explanation of the ownership and control structure
 - vii. Declaration from any persons who exercise control over the management of the company, if applicable

(d) Beneficiaries who are natural persons:

- The Founder, Administrator(s), Protector (or members of a supervisory council, or guardian), Beneficiaries or class of beneficiaries and any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means
 - i. Certified Copy of two government issued identity documents such as a Passport, Identity Card and/or Driving License, one of which must contain details of the residential address
 - ii. Certified Copy of Proof of Address (not older than 6 months) for example a utility bill or bank statements. In the case that a utility bill is provided, this should be issued in relation to services linked to the residential property.

(e) Additional documentation to be provided

- i. Declaration by the Association/Foundation to inform the Company of any changes to the beneficial owners
- ii. PEP declaration
- iii. Source of Wealth Declaration Form
- iv. Source of Funds Declaration Form
- v. Investor Profile Form which is part of the Subscription Form
- vi. Self-Certification form
- vii. Subscription Application form
- viii. Dealing Form

G. Regulated Fund

- i. Certified copy of Certificate of Registration
- ii. Certified copy of the Fund Licence
- iii. Certified Copy of the latest approved Offering Memorandum and Offering Supplement
- iv. Authorised Signatory list - clearly stating the signatory power and designation of the signing party
- v. AML Letter on company letterhead from the Fund Administrator or the Fund Manager
- vi. Undertaking that CDD information and documentation on the underlying investors will be made immediately available upon request and by no later than two working days from the request made by the Company
- vii. PEP Declaration
- viii. Due Diligence on the Agent(s)
- ix. Investor Profile Form which is part of the Subscription Form
- x. Self- Certification form
- xi. Subscription Form
- xii. Dealing Form
- xiii. Source of Funds and of Wealth
- xiv. Latest valuation

H. Non-Regulated Fund

- i. Certified copy of Certificate of Registration
- ii. Certified Copy of the Offering Memorandum and Offering Supplement
- iii. Certificate of Good Standing/Certificate of Incumbency (not older than three months)



- iv. Authorised Signatory list - clearly stating the signatory power and designation of the signing party
- v. AML Letter on company letterhead from the Fund Administrator or the Fund Manager
- vi. Undertaking that CDD information and documentation on the underlying investors will be made immediately available upon request and by no later than two working days from the request made by the Company
- vii. List of underlying investors to include:
 - a. Full Name
 - b. Date of Birth (for natural persons)
 - c. Registered/Residential Address
 - d. Nationality
 - e. Identification/Registration number
 - f. If confirmation if any of the natural persons involved with the underlying investor(s) are PEPs
- viii. Due Diligence on the Agent(s)
- ix. PEP Declaration
- x. Investor Profile Form which is part of the Subscription Form
- xi. Self- Certification form
- xii. Subscription Form
- xiii. Dealing Form
- xiv. Source of Funds and of Wealth
- xv. Certified Copy of Latest three audited accounts/Financial Statements of the Company or latest three valuations

Appendix I

List of examples of appropriate information and/or supporting documentation required to establish Source of Wealth and Funds:

Source of funds/wealth	Information / Documents that may be required
Employment Income	<ul style="list-style-type: none"> - Nature of employer's business - Name and address of the employer - Annual salary and bonuses for the last couple of years - Last month/recent pay slip - Confirmation from the employer of annual salary - Latest accounts or tax declaration if self employed
Savings / deposits	<ul style="list-style-type: none"> - Bank statement and enquiry of the source of wealth
Property Sale	<ul style="list-style-type: none"> - Details of the property sold (i.e. address, date of sale, sale value of property sold, parties involved) - Copy of contract of sale - Title deed from land registry
Sale of shares or other investment	<ul style="list-style-type: none"> - Copy of contract - Sale value of shares sold and how they were sold (i.e. name of stock exchange) - Statement of account from agent - Transaction receipt/confirmation - Shareholder's certificate - Date of sale
Loan	<ul style="list-style-type: none"> - Loan agreement - Amount, date and purpose of loan - Name and address of Lender - Details of any security - rationale for loan - relationship with lender
Company Sale	<ul style="list-style-type: none"> - Copy of the contract of sale - Internet research of Company Registry - Name and Address of Company - Total sales price - Customer's share participation - Nature of business - Date of sale and receipt of funds - Media coverage

Company Profits Distribution / Dividends	<ul style="list-style-type: none"> - Copy of latest audited financial statements - Copy of latest management accounts - Board of Directors approval - Dividend distribution Certificate - Tax declaration form
<p>Income/wealth from business</p> <ul style="list-style-type: none"> - Trading profits - Dividends from subsidiaries - Investment Income - Transfer of assets - Contributions - Loans received 	<ul style="list-style-type: none"> - Copy of latest audited financial statements - Copy of latest management accounts - Dividend distribution Certificate - Loan agreement - Bank confirmation/instructions - Verification document of transfer of asset - Holdings reports
Inheritance	<ul style="list-style-type: none"> - Name of deceased - Date of death - Relationship to Customer - Date of funds/assets received - Total amount - Solicitor's details - Tax clearance documents
Gift	<ul style="list-style-type: none"> - Date received - Total amount - Relationship to Customer - Letter from donor explaining the reason for the gift and the source of donor's wealth - Certified identification documents of donor - Donor's source of wealth
Maturity/surrender of life policy	<ul style="list-style-type: none"> - Amount received - Policy provider - Policy number/reference - Date of surrender
Other income sources	<ul style="list-style-type: none"> - Nature of income, amount, date received and from who - Appropriate supporting documentation

Appendix II

DEFINITION OF A BENEFICIAL OWNER

Body corporate or body of persons

- i. The beneficial owner is the natural person/s who ultimately own/owns or control/controls that body corporate or body of persons through the direct or indirect ownership of a sufficient percentage of shares, voting rights or ownership interest.

Direct ownership or control of the body corporate or body of persons means:

- direct ownership of 25% plus one (1) or more of the shares (including bearer shares);
- direct ownership of more than 25% of the voting rights; or
- a direct holding of an ownership interest of more than 25%.

Indirect ownership or control of the body corporate or body of persons means:

- indirect ownership of 25% plus one (1) or more of the shares (including bearer shares);
or
- indirect ownership of more than 25% of the voting rights; or
- an indirect holding of an ownership interest of more than 25%.

- ii. A natural person(s) who exercise(s) control via other means.
- iii. The natural person(s) holding the position of senior managing official(s) – if, after having exhausted all possible means, no beneficial owner as defined under paragraphs (i) and (ii) above is identified.

A. Trusts

The following are considered to be beneficiaries

- settlor;
- trustee(s);
- protector, members of the supervisory council, guardian or enforcer (where applicable);
- beneficiaries, or where the individuals benefiting from the trust have yet to be determined, the class of persons in whose main interest the trust is set up or operates; and
- any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means.

B. Other types of legal entities (such as a foundation) or legal arrangements similar to a trust, which administers and distributes funds

The following are considered to be beneficiaries:

- i. Founder,
- ii. Administrator(s),
- iii. Protector (or members of a supervisory council, or guardian)
- iv. beneficiaries, or where the individuals benefiting from the entity have yet to be determined, the class of persons in whose main interest the entity is set up or operates; and
- v. and any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means

Appendix III

DEFINITION OF AGENT

- All individuals identified as directors of a Company;
- An individual whose is given authorisation by the Company by means of a board resolution, Power of Attorney or any other written authorisation to represent the Company
- Authorised Signatories;
- When the Customer is not acting as principal