

# IDENTITY VERIFICATION CERTIFICATE - NON PRIVATE INDIVIDUAL

- Must be completed by a regulated UK or EU Intermediary
- The person who has seen the original documentary evidence must sign the certificate

## SECTION 1

Type of entity	Public company (quoted) / Public company (unquoted) / Private limited company / Partnership / Charity / Club / Society / Trust <b>(delete as appropriate)</b>
Full name	
Business address	
	Postcode
Registered office in country of incorporation	
	Postcode
Registered number, if any (if appropriate)	
Relevant company registry or regulated market listing authority	

## SECTION 2

I/We certify that

Tick if appropriate

**A** - I/We **have** obtained information in relation to the entity to verify its identity that meets the higher risk standard of evidence set out within the guidance for the UK Financial Sector issued by JMLSG (Please complete sections 3 and 4)

Tick if appropriate

**B** - I/We **have not** verified the identity of the entity for the following reason(s):

Regulators reference number

• Company quoted on a recognised stock exchange

• FSA registered firm

• Solicitors firm (regulated by the Solicitors Regulation Authority)

• Barristers chambers (regulated by the Bar Standard Board)

• Accountancy firm (regulated by one of the following: ICAEW Institute of Chartered Accountants of England and Wales, ICAS Institute of Chartered Accountants of Scotland, ACCA Association of Chartered Certified Accountants, SIPFA Chartered Institute of Public Finance and Accountancy)

• Other, please give details:

Details of authorised persons completing form

Full name of regulated firm

Name of regulator

Regulator reference number

Name

Position

Signed\*

Company stamp

Date

Where the exemptions in section 2B apply only sections 1 and 2 of the form need completing, otherwise sections 3 and 4 must be completed as applicable.

## SECTION 3

### Details of directors, shareholders, partners, trustees and controllers

The below must be provided in all cases where the exemptions in section 2B do not apply:

- List of all directors, trustees or controllers.
- List of all partners or shareholders owning over 25% of the shares or voting rights in the body.
- Verification of the relevant persons either:
  - two directors or one controlling shareholder (owning over 25% of the shares or voting rights in the body) for a company;
  - two partners of a partnership;
  - two principal controllers/signatories for a club or society; or
  - two trustees for a charity or other trust.

Please attach the appropriate personal verification certificate(s) (unless already previously provided to us).

For **unquoted publicly owned companies** there is no need to verify individual shareholders, please instead provide verification of 2 directors.

#### List of directors / trustees / controllers

Name	Status	ID verified
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

#### Partners / List of controlling shareholders owning over 25% of the shares or voting rights in the body

Name	Status	%	ID verified
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

Is the applicable firm in the process of being dissolved, stuck off, wound up or terminated?

Yes /No

Please continue on a separate sheet where necessary

## SECTION 4

### Unquoted company or LLP

Item	Ref. / Acc. number	Country of registration	Date of issue
Companies house search	<input type="text"/>	<input type="text"/>	<input type="text"/>

### Partnership

- Please provide a certified copy of one of the following documents where applicable.
- When attaching certified copies of the evidence please also record the relevant details on this sheet as this will help with record keeping in the event that copy documents become detached from the certificate.

Item	Ref. / Acc. number	Country of registration	Date of issue
Partnership agreement	<input type="text"/>		<input type="text"/>
HMRC tax notification	<input type="text"/>	Type: Notice of assessment	<input type="text"/>
Latest accounts	<input type="text"/>		Period ended <input type="text"/>

### Registered charity

- Please provide a certified copy of the below document where applicable.
- When attaching certified copies of the evidence please also record the relevant details on this sheet as this will help with record keeping in the event that copy documents become detached from the certificate.

Item	Ref. / Acc. number	Country of registration	Date of issue
Certificate of registration	<input type="text"/>	<input type="text"/>	<input type="text"/>

### Clubs / Societies / Trusts

- Please provide a certified copy of one of the following documents where applicable and the nature or purpose of the business or activity
- When attaching certified copies of the evidence please also record the relevant details on this sheet as this will help with record keeping in the event that copy documents become detached from the certificate.

Item	Ref. / Acc. number	Country of registration	Date of issue
Constitution document or trust deed	<input type="text"/>		<input type="text"/>
HMRC tax notification	<input type="text"/>	Type: Notice of assessment	<input type="text"/>
Nature or purpose of business or activity	<input type="text"/>		

## Notes on the completion of the introduction certificates for UK and EU regulated intermediaries in the retail sector

- » The certificate must be signed by a person who has been authorised by their firm for this purpose and who has seen the original documentation.
- » The certificate submitted must be the original or a clean certified copy of the original certificate (e.g. where a certificate is being sent to more than one product provider). Uncertified photocopies and faxes are not acceptable.
- » If photocopies of documentary evidence are attached to the certificate, the person signing the certificate must certify them. Each photocopy must be individually certified with an original signature. Further certification of previously certified copies is acceptable provided the previous generation document bearing an original certification has been seen by the firm.