

# IDENTITY VERIFICATION CERTIFICATE - PRIVATE INDIVIDUAL

- Please complete a separate certificate for all parties to the contract (e.g joint applicants, trustees, settlors, employer - where the employer is to make contributions) where you have been required to undertake identification.
- The person who has seen the original documentary evidence must sign the certificate

Please give details below of the applicant /trustee\*/third party in full.

Title	<input type="text" value="Mr / Mrs / Miss / Other"/>	Surname	<input type="text"/>
For names (in full)	<input type="text"/>		
Date of birth	<input type="text"/>		Gender <input type="text"/>
Address	<input type="text"/>		
			Postcode <input type="text"/>

I / We certify that (please tick the box beside either Section A or Section B)

## SECTION A

I/We **have** verified the identity of the Applicant, having:

Tick if appropriate

- seen the original documents;
- checked that any requiring a signature were pre signed; and
- confirmed that any associated photograph of the Applicant bore a good likeness to the Applicant and have included the relevant reference information or certified documentary evidence on/with this certificate.

## SECTION B

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

Tick if appropriate

Full name of regulated firm

Name of regulator

Regulator reference number

Name

Position

Signed\*

Company stamp

Date

## EVIDENCE OF NAME

Item	Ref. / Acc. number	Place of birth	Date of birth	Date of Expiry	Certified copy attached
Current full passport	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Residence permit issued to EU Nationals by the Home Office	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<b>Current</b> UK/EU photo driving licence (1)	<input type="text"/>			Date of issue <input type="text"/>	<input type="checkbox"/>
<b>Current</b> full UK driving licence (Old Style) (1)	<input type="text"/>			<input type="text"/>	<input type="checkbox"/>
		Issuing authority			
Firearms certificate	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="checkbox"/>
State pension or benefits book / notification letter (1)	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="checkbox"/>
Subcontractors certificate (3)	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="checkbox"/>
HM Revenue & Customs tax notification	<input type="text"/>	Type: Notice of coding		<input type="text"/>	<input type="checkbox"/>

## EVIDENCE OF ADDRESS

Item		Premises entered?	Date of Visit	Certified copy attached (2)
Home visit		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="text"/>	
Residence permit issued to EU Nationals by the Home Office			Date of Letter <input type="text"/>	<input type="checkbox"/>
Electoral roll check			Date of check <input type="text"/>	<input type="checkbox"/>
Most recent mortgage statement	Ref. / Acc number <input type="text"/>	Name of lender <input type="text"/>	Date of issue <input type="text"/>	<input type="checkbox"/>
		Name of authority <input type="text"/>		
Current local authority tax bill	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Local authority rent card or tenancy agreement	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Bank/building society/credit union statement or passbook	<input type="text"/>	Name of issuer <input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Utility bill (not mobile phone)	<input type="text"/>	Name of utility company <input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Current UK / EU photo driving licence (1)	<input type="text"/>		<input type="text"/>	<input type="checkbox"/>
Current full UK driving licence (old style) (1)	<input type="text"/>		<input type="text"/>	<input type="checkbox"/>
State pension or benefits book /notification letter (1)	<input type="text"/>	Issuing authority <input type="text"/>	<input type="text"/>	<input type="checkbox"/>

1) These may be used to evidence address or identity but not both

2) If 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

3) For self-employed persons in the construction industry – tax exemption certificate with photograph

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

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- » A separate certificate must be completed for each applicant. Where there is a third party involved eg the payer of contributions who is different from the applicant, that person must also be identified.
- » Beneficiaries under a trust do not need to be identified when the investment is made or policy taken out (unless they are also the settlor). However, trustees should be made aware that, especially in the case of offshore and discretionary trusts, the identity of the beneficiaries will need to be verified before any payments are made to them.
- » 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.
- » Separate evidence must be obtained to certify identity and address.
- » Home visits can continue to be certified as evidence of address only and only when the person completing and signing the certificate has entered the premises.
- » The certificate submitted must be the original or a clean certified copy of the original certificate (eg where a certificate is being sent to more than one product provider). Uncertified photocopies and faxes are not acceptable. If the client is not seen face to face and wishes to supply certified copies of evidence to you rather than you seeing the original documentation and certifying the copy yourself, please refer to 17.2 of the Money Laundering Regulations 2007 for information on who can certify the documents.
- » Where the evidence submitted includes a photograph eg a new style driving licence, you must certify that the photograph bears a good likeness to the applicant.
- » 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.
- » For non-UK nationals, certified copies of equivalent documentary evidence may be submitted. A lawyer, attorney, embassy, consulate or high commission of the country of issue must certify passports, identity cards and documentary evidence of address for non-UK nationals. The intermediary may re-certify copy documentation that they have obtained, provided that such documentation carries an original certification by an appropriate person from the aforementioned list.
- » Normally evidence will be recent eg utility bill or mortgage statement. Evidence of the customer's identity obtained some years ago by the intermediary may be acceptable provided it is still current eg unexpired passport. Older documents evidencing the customer's address will be acceptable provided the address on the evidence matches that on the application.
- » Please note that old style (non-photo) provisional driving licences are not acceptable.
- » When using the electoral roll as evidence or a solicitor's letter confirming house purchase for address verification you must send a certified copy of your search or the letter, as appropriate.
- » Mobile telephone bills should not be accepted as they can be sent to different addresses.