

## Requirements – Non-Personal Entities

We undertake Customer Due Diligence (“CDD”) checks on all new client applications, as well as certain key individuals within product providers, client companies and investee companies. We are unable to open a full investment account and accept any funds or instructions until we, and our partners have completed all checks to our satisfaction. These checks are in relation to the FCA Rules, FSMA, the MLR and the General Data Protection Regulations 2018, and all other applicable laws, rules and regulations.

By completing and signing the Adviser Confirmation within the Account Application form, the FCA authorised Financial Intermediary will confirm the client identity. In addition to this, we require some additional documentation to hold on file

This document is intended to provide an overview of GrowthInvest requirements for companies and corporate entities, including Trusts, Pensions and Charities. This may be used in conjunction with third party checks from recognised industry suppliers, always in accordance with all Data Protection Legislation.

### Requirements for Companies & Corporates

- **Names of all Directors/Partners:** Provide the names of all directors or partners involved in the company or corporate entity.
- **Details of Ownership:** Include information on ownership, including percentage ownership.
- **Memorandum of Association:** Submit the memorandum of association or equivalent constitutional document.
- **Authorised Signatory List:** Provide an authorised signatory list for the company or corporate entity.
- **ID and Address Verification:** Perform ID and address verification for a minimum of two directors/partners and any beneficial owners with a shareholding of 25% or more.
- **Bank Statement:** Submit a recent bank statement (issued within the last three months) for the corporate bank account.

Please note that additional Requirements, and documentation, may be requested as part of additional enhanced due diligence in some cases, including any non-Uk entities or more complex or opaque corporate structures, and if the entity is as follows:

**Corporate Director:** Names of all Directors, ID and Address verification. Additional documents from above as required.

**Investment Vehicle:** Source of Wealth Documentation; Source of Funds; ID and Address verification.

### Requirements for Trusts

- **Certified Copy of Trust Deed:** Provide a certified copy of the Trust Deed and any subsequent deeds of amendment, appointment, or retirement of trustees and/or protector.
- **Extract from Trust Registration Service:** If applicable, provide an extract from the trust registration service.
- **ID and Address Verification:** Perform ID and address verification for any individual trustees, the settlor, and protector (if applicable).
- **Names of Beneficiaries:** Provide the names of beneficiaries (if applicable).
- **Bank Statement:** Submit a recent bank statement (issued within the last three months) for the trust bank account.

Please note that additional Requirements, and documentation, may be requested as part of additional enhanced due diligence in some cases.



## Requirements for Pensions

- **Evidence of Pension Scheme Registration:** Provide evidence that the pension scheme is registered with HMRC or the Pensions Regulator (for UK schemes).
- **ID and Address Verification:** Perform ID and address verification for individual members/pension holders and the pension provider/trustee (if not already identified).
- **Authorised Signatory List:** Provide an authorised signatory list for the pension provider/administrator.
- **Evidence of Authority:** Provide evidence that the individuals acting for the pension provider/administrator have appropriate authority.
- **Corporate Trustees:** Names of all Directors, ID and Address verification. Additional documents from Corporate above as required

Please note that additional Requirements, and documentation, may be requested as part of additional enhanced due diligence in some cases.

## Certification

The person certifying your document should *write on the copy as follows*:

### For documents with a photo.:

*"I certify this to be a true likeness of { insert individual's name } and that this document is certified to be a true copy of the original seen by me."*

### For documents without a photo:

*"I certify this to be a true copy of the original seen by me."*

The person certifying should:

- Print their name in block capitals
- State their occupation, company name and role within the company
- Sign and date their declaration
- Provide contact telephone number
- Date that the certification took place

The person you ask should not be:

- related to you
- living at the same address
- in a relationship with you

Your document must be certified by a professional person or someone well-respected in your community ('of good standing'). Some examples are as follows:

- FCA regulated adviser
- bank or building society official
- councillor
- minister of religion
- dentist
- chartered accountant
- solicitor or notary
- teacher or lecturer

For further information please visit the following useful link <https://www.gov.uk/certifying-a-document>