



Requirements – Individuals

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, and require the completion of the Client Profile section on the Platform, including Client Categorisation and Appropriateness areas.

This document is intended to provide an overview of acceptable CDD documentation which can be used to verify new or existing clients’ identification and run Anti-Money Laundering Checks. This may be used in conjunction with third party checks from recognised industry suppliers, always in accordance with all Data Protection Legislation.

Verification of Identity

You must provide one document from List A and one document from List B below with your Application Form. These copies must be verified by an approved person and certified to be a true original. Please see below for further information on certification.

The Company reserves the right to request further documentation or conduct further searches as necessary in respect of any applicant in order to satisfy their obligations to ensure adherence to Anti Money Laundering regulation and/or legislation. Each item must be less than three months old and should show your name and permanent residential address. Original documents will be returned by post at your risk.

List A – Photo ID

- Passport, Driving Licence or certified copies of either)

List B – Proof of Address

- Driving Licence (or certified copy)
- Utility Bill (but not a mobile telephone bill)
- Council Tax Bill (for the current year)
- Original Tax notification from HM Revenues & Customs
- Bank Statement/Building Society statement



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>