



# **The ID Register**

## *Evidence & Certification Guide*

*04 October 2018*



<b>Contents</b>	<b>Page</b>
<b>Evidence Summary</b>	<b>3</b>
<b>Profile Evidence Section</b>	<b>3</b>
<i>Evidence Requirements</i>	4
<i>Evidence Upload</i>	4
<b>Evidence Certification</b>	<b>5</b>
<i>Suitable Persons</i>	5
<i>Certification Process</i>	6
<i>Certifier Details</i>	7
<i>Document and Statement</i>	8
<i>Certification Approval</i>	9
<i>Digital Certification</i>	10
<i>Wet Ink Certification</i>	11
<b>Appendix 1 – System Requirements &amp; Document Recommendations</b>	<b>12</b>
<i>Individuals</i>	12
<i>Private Company</i>	13
<i>Limited Partnership</i>	14
<i>Limited Liability Company</i>	15
<i>Regulated Entity</i>	16
<i>Listed Entity</i>	17
<i>Trust</i>	18
<i>Pension / Employee Benefit Trust</i>	19
<i>Public Body</i>	20
<i>Sovereign Wealth</i>	21
<i>University</i>	22
<i>Foundation</i>	23
<b>Appendix 2 – Source of Wealth and Funds – Document Recommendations</b>	<b>24</b>

## Evidence Summary

The ID Register has been designed as an online portal where your individual investors, corporates and institutions can create and maintain profiles containing Client Due Diligence (CDD) information for the purpose of sharing that information with others.

In order for these profiles to be relevant, The ID Register also requires individual investors, corporates and institutions to upload evidence documents supporting the information populated in their profiles. This guide will explain how to do this, what documents you are recommended to use and how documents can be certified electronically using The ID Register.

## **Profile Evidence Section**

This is an expandable section which will list the evidence requirements for the profile and can be found below the 'Profile Details,' 'Address' and 'Due Diligence Sections.' See Appendix 1 for the specific requirements and documents.

## **Evidence Requirements**

Your profile's evidence requirements are determined by rules which take into account the following:

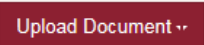
- Profile Type
- Details entered into the 'Due Diligence' section of the Profile and
- Indicative Risk Factors of the Profile

**The ID Register requires you to populate the profile with all relevant details in order to best determine the Evidence Requirements. Please ensure you have entered the information accurately to ensure the correct evidence requirements generate. This will minimise further requests for CDD.**

## **Evidence Upload**

- The ID Register accepts the following types of documents (bmp, doc, docm, docx, gif, jpeg, jpg, pdf and png)
- There is a **2000KB** file size limit for each document uploaded.

**All documents are virus scanned when uploaded. Non PDF documents are converted to PDF.**

To upload evidence against the relevant field, expand the 'Evidence' section and click on the  button

Clicking the button will display the following:

1. **Upload** – Clicking this will open a browser window. Where you can navigate to and select the document to be uploaded

**The ID Register should have evidence provided for each 'Required' item. If you do not have a document that meets the requirement please inform The ID Register.**

## Evidence Certification



Once the evidence document has been uploaded you will see the document and its current certification status.

The ID Register allows you to request the electronic certification of your documents through the site. This feature has been made possible by recent developments in EU law which allows institutions to accept electronically certified documents and gives electronic certification the same recognition as a physical certification.

Where identity is verified electronically or copy documents are used, copies can only be accepted where it has been certified by a suitable certifier as being a true copy of the original document and in the cases of photo identification, that the photo is a true likeness of the Applicant for Business.

## Suitable Certifiers

The ID Register enables you to submit the Certification request to any valid email address. However, in order for a certification to be valid you **MUST** send the request to a suitable certifier.

Suitable Certifiers include:

- A director, officer or manager of a regulated financial institution in a well regulated jurisdiction;
- An accountant who is a member of a recognised professional body;
- A company secretary who is a member of the Institute of Chartered Secretaries and Administrators;
- A lawyer or notary public;
- An actuary;
- An embassy, consulate or high commission of the country of issue of the document;  
or
- A member of the judiciary, a senior civil servant, or a serving police or customs officer.

## Certification Process

Title	Explanation	Upload
Passport	Please provide a certified copy of your passport	Upload Document ▾
<input checked="" type="checkbox"/>	TEST.pdf	Requires certification Expires Not set

To certify a document click the tick box to the left of the document.

At the bottom of the 'evidence' section click on the **Certify selected items ▾** button.

The button will show the follow option:

1. **Send a Certification Request** – This will open a pop up window requesting the following:
  - a. **Name** – Name of the certifier
  - b. **Relationship Type** – The profile's relationship with the certifier
  - c. **Email** – The certifiers email address
  - d. **Notes** – Any notes you would like to include for the request
  - e. **Organisation** – The organisation the certifier works for

Once you have entered the required information click "Request Certification" and an email will be sent to the certifier. This email will contain a link to the "Evidence Certification Screen.

**External certifiers do not need to be a user on The ID Register for the link to work. The link will expire after 14 days. If it is not used in this time it will expire and will need to be resent.**

**IMPORTANT: If the documents requiring certification relate to your personal profile, or that of a relative. For example a passport or utility bill. You MUST NOT certify this yourself. Any such certifications will be rejected by The ID Register.**

## Certifier Details

### Evidence Certification

Your Details		
Email	<input type="text" value="youremail@email.com"/>	
Telephone	<input type="text" value="🇬🇧 01481 755160"/>	
Name	<input type="text" value="Your name here"/>	
Organisation	<input type="text" value="Organisation"/>	
Job Title	<input type="text" value="Job Title"/>	
Address	<input type="text" value="1 Royal Plaza, St Peter Port, Guernsey, GY1 2HL"/>	
Professional accreditation and number	<input type="text" value="ACCA Number"/>	This is mandatory if you are a professional Notary.
Additional information	<input type="text"/>	Please add any additional information, such as Notary expiry date, here.

[Next](#)

The certifier **MUST** populate all of the red fields on the above page before they can review and confirm the certification of your document(s)

**The information input here must be correct as it is relied on to prove the evidence document is genuine which will be used by funds that your profile is connected to for your investments.**


The page will be pre-populated with the fields the requester entered as part of the "Send a Certification Request process.

Once the certifier has completed the form they click on [Next](#)

## Document and Statement


### Evidence Certification

Dummy Passport.pdf	<input checked="" type="radio"/> I certify that the document is a true copy of the original document which I have seen or is before me, and that I have met the person and the photograph is a true likeness of the individual. <input type="radio"/> I certify that the document is a true copy of the original. <input type="radio"/> I am unable to certify this document as a true copy for the following reason:
Dummy Utility Bill.pdf	<input type="radio"/> I certify that the document is a true copy of the original document which I have seen or is before me. <input type="radio"/> I certify that the document is a true copy of the original. <input checked="" type="radio"/> I am unable to certify this document as a true copy for the following reason: <input type="text"/>



The certifier is then taken to the Evidence Certification page. This provides;

- A link to each document for the certifier to review and;
- A Button to select either:
  - **Certify the document as a true copy which has been seen** – This option is used to certify all evidence which requires a formal certification. (e.g. a Passport, Utility Bill, Certificate of Incorporation or Register of Directors)
  - **Certify the document as a true copy** – This option is used to certify documents on the ID Register sourced from the public domain or where they would not normally require a certification (e.g. a W-Series Form, CRS Self Certification Form or extract from a Regulators website)
  - **Unable to Certify** – With a drop down menu giving a reason (e.g. this document has expired) and a text box for any further information.

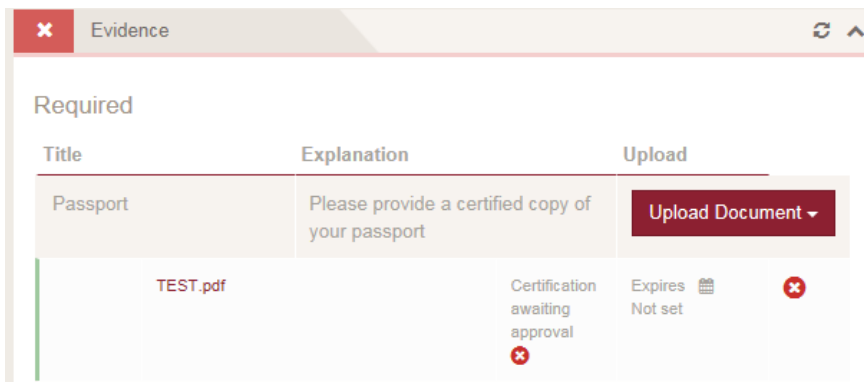
Once the certifier has completed reviewing the document and they are satisfied with their response(s) they click  at the bottom of the page.

This will complete the Certification process for the Certifier and they can close the window.

**The email link sent to the certifier will no longer work after this process has been completed.**



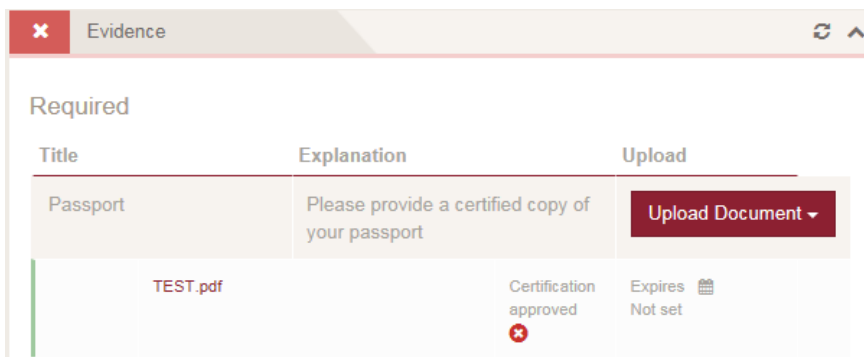
## Certification Approval



The screenshot shows a web interface titled 'Evidence'. Under the 'Required' section, there is a table with three columns: 'Title', 'Explanation', and 'Upload'. The first row shows 'Passport' as the title and 'Please provide a certified copy of your passport' as the explanation. Below this, a document named 'TEST.pdf' is listed. The status for this document is 'Certification awaiting approval', which is accompanied by a red 'x' icon. The 'Expires' field is 'Not set', also with a red 'x' icon. An 'Upload Document' button is visible in the 'Upload' column.

Title	Explanation	Upload
Passport	Please provide a certified copy of your passport	Upload Document ▾
TEST.pdf	Certification awaiting approval	Expires Not set

Before the certification is applied to the document it is first reviewed and validated by The ID Register. This can take up to 2 Business Days.



The screenshot shows the same 'Evidence' page as above, but the status for the 'TEST.pdf' document has changed to 'Certification approved', which is accompanied by a red 'x' icon. The 'Expires' field remains 'Not set'.


Title	Explanation	Upload
Passport	Please provide a certified copy of your passport	Upload Document ▾
TEST.pdf	Certification approved	Expires Not set

Once approved, the certified document will be active in the profile. An expiry date is recorded against each document. The ID Register will send the profile owner a reminder 30 days before the document expires to refresh your evidence.

## Digital Certification

### The ID Register

Investor Individual  
Due Diligence Evidence - Passport



#### Digital Certification


**This document is digitally certified in accordance  
with ISO 32000 using a tamper-proof digital signature**

**Certifier Details**

Name:	Graeme Fallaize
Email Address:	graeme.fallaize@ipes.com
Organisation:	Ipes
Telephone:	+441481755146
Job Title:	Analyst
Address:	Test
Accreditation:	

I certify that the document is a true copy of the original document of which I have  
seen or is before me

Please click to view digital signature detail



The following pages have been securely watermarked with the  
date and time of certification

Please address any questions to:  
Email: [contactus@theidregister.com](mailto:contactus@theidregister.com)  
Telephone: +44 1481 735 800

The digital certification is a tamper proof, electronic signature which comprises of a certification details cover page with a time & date stamp watermark on the relevant pages.

The tamper proof element comprises of a digital certification of the document which, should someone try to edit or change the file will highlight that a change has been made and cause the document to become invalid.

**Digital Certification**

Almost all worldwide jurisdictions have recognised the validity of digital signatures since the early 2000s. Cayman (The Electronic Transactions Law,2000), Luxembourg (The Grand-Ducal Regulation of 1st June 2001), UK Financial Crime Guide for example. Recent changes in the handbooks of Guernsey (Handbook annex 2015) and Jersey (Handbook update 2016) for example make explicit the regulators’ support for digital signatures in the KYC process. Documents on the ID Register are certified using a digital signature. The table below shows the common requirements for this process in the legislation referenced above, together with others.

<b>Legal Requirement</b>	<b>Paper-based problems</b>	<b>Solved by The ID Register</b>
<b>Only the signatory can create their signature</b>	Can your children passably sign your signature? How often do we check that the notary's stamp is real?	We store the email address used by the signatory, their IP address, name, address, telephone number, professional accreditation and their fully validated ID Register profile, if applicable. We also contact new accreditors by telephone and reconfirm their certifications periodically thereafter.
<b>The signatory understands the reason for which the document is being certified</b>	No evidence of this explanation is retained on the signed document.	This is explained in the certification email and on the certification screens.

Regulatory support for digital signatures therefore both reduces the cost and increases the effectiveness of certification.



## Wet Ink Certification

The ID Register also accepts certified documents using the traditional physical certification. When physically certifying evidence, in order for the certification to be accepted, the ID Register requires specific wording based on the evidence document type.

1. **I certify that this is a true and correct copy of the original which I have seen or is before me.** – This wording is used to certify all evidence, which is NOT a proof of identity with photo, which requires a formal certification. (e.g., Utility Bills, Certificate of Incorporation or Register of Directors etc.)
2. **I certify that this is a true copy of the original of which I have seen or is before me. And that the photo therein bears a true likeness to the individual of whom I have met.** – This wording is specific to certify evidence, which **IS** a proof of identity with photo. (e.g., Passport, Driving License, National ID Card etc.)

In order for the physical certification to be accepted, we need to capture certain details of the certifier;

**Name** – Name of the certifier

**Job Title** – Position of the certifier

**Organisation** – The organisation the certifier works for

**Contact Details** – The certifiers email address and/or telephone

**Professional Accreditation and Number** – e.g., ICAEW Accreditation number

## Appendix 1 – System Requirements & Document Recommendations

### Individual

Document Type	Indicative Risk Factor	Suggested Document
<b>Proof of Identity</b>	Any	Document must be Unexpired: <ul style="list-style-type: none"> <li>• Passport details page with Photo, or</li> <li>• Photo Driving Licence, or</li> <li>• Government issued Photo ID</li> </ul>
<b>Proof of Address</b>	Any	Document must be within 3 months of issue: <ul style="list-style-type: none"> <li>• Utility Bill (service to an address, not a mobile), or</li> <li>• Bank Statement, or</li> <li>• Official Correspondence from a Government department, or</li> <li>• Property Deed or Tenancy Agreement, or</li> <li>• Extract of Official, online Address (e.g. Government website/Telecom Directory site – URL/Website must be shown)</li> </ul>
<b>W Series Form</b>	Any	Relevant where the Profile Owner has direct/indirect investments into the US and they wish to prevent any withholding tax on their investments and confirm their FATCA status
<b>Additional Proof of Address</b>	High	Please see <b>Proof of Address</b>  Document must be a different source to that used for Proof of Address. Proof of ID that also contains your address can be accepted for this requirement  Select <b>Set as not Required</b> and refer to the ID in the reason
<b>Source of Funds</b>	High	The intent is for the Profile owner to show where the funds being used for investments have been sourced from which may be different to the source of their total wealth (e.g. Sale of an asset, Income from investments etc.)  Please see <b>Appendix 2</b> for recommended documentation
<b>Source of Wealth</b>	High	The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)  Please see <b>Appendix 2</b> for recommended documentation

## Appendix 1 – System Requirements & Document Recommendations

### Private Company

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Certificate of Incorporation</b>	Any	<ul style="list-style-type: none"> <li>• Certificate of Incorporation, or</li> <li>• Extract from the website of the body which the profile is incorporated with (e.g. Companies House // ensure the URL/Website is shown for verification purposes)</li> <li>• Certificate of Good Standing (If other documents are unavailable)</li> </ul>
<b>Register of Directors</b>	Any	Printout/Copy of the Register of Directors
<b>Register of Shareholders</b>	Any	Printout/Copy of the Register of Shareholders
<b>Audited Accounts</b>	Standard & High	<p>Latest Audited Accounts of the Private Company</p> <p>If the company does not produce Audited Accounts for reasons of jurisdictional requirements or company lifetime set as not required providing the reason</p>
<b>Memorandum &amp; Articles of Association</b>	Standard & High	Private Companies Memorandum and Articles of Association document
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where the funds being used for investments have been sourced from which may be different to the source of their total wealth (e.g. Sale of an asset, Income from investments etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>

**Appendix 1 – System Requirements & Document Recommendations**

**Limited Partnership**

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Certificate of Registration</b>	Any	<ul style="list-style-type: none"> <li>• Registration Certificate, or</li> <li>• Extract from the website of the body which the profile is Registered with (e.g. Companies House // ensure the URL/Website is shown for verification purposes)</li> </ul>
<b>Register of Limited Partners</b>	Any	Printout/Copy of the Register of Members
<b>Limited Partnership Agreement</b>	Standard & High	Printout/Copy of the Limited Partnership Agreement establishing the company and any amendments
<b>Audited Accounts</b>	Standard & High	Extract from the latest Audited Accounts of the General Partner showing accounts in respect of the Limited Partnership
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>



**Appendix 1 – System Requirements & Document Recommendations**

**Limited Liability Company**

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile.
<b>Certificate of Formation</b>	Any	<ul style="list-style-type: none"> <li>• Registration Certificate or</li> <li>• A letter from an official body showing company incorporation/organisation and registration number.</li> </ul>
<b>Operating Agreement</b>	Any	A legal document outlining the ownership and any member duties of the company. The agreement may also set out the financial and working relations among business owners
<b>Register of Members</b>	Any	Printout/Copy of the Register of Members
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>





## Appendix 1 – System Requirements & Document Recommendations

### Regulated Entity

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Proof of Regulated Status</b>	Any	<ul style="list-style-type: none"> <li>• Certificate of Confirmation document of Regulated Status, or</li> <li>• Extract from regulators website</li> </ul>
<b>Prospectus</b>	Any	<ul style="list-style-type: none"> <li>• Regulated Entities Prospectus, or</li> <li>• Extract from the Regulators website (showing URL/Website)</li> </ul>
<b>Nominee Requirements</b>	Any	<p>The following documents should be provided:</p> <ul style="list-style-type: none"> <li>• Nominee Agreement between the Entity and the Nominee(s) and</li> <li>• List of Parties within the nominee account (each underlying nominee must have a profile connected to the nominee profile)</li> </ul>
<b>Register of Shareholders or Members</b>	Standard & High	Printout/Copy of the Register of Shareholders or Members
<b>Audited Accounts</b>	Standard & High	<p>Latest Audited Accounts of the Regulated Entity</p> <p>If the company does not produce Audited Accounts for reasons of jurisdictional requirements or company lifetime set as not required providing the reason</p>
<b>Memorandum &amp; Articles of Association</b>	Standard & High	Regulated Entities Memorandum and Articles of Association document
<b>Incorporation Certificate</b>	Standard & High	<ul style="list-style-type: none"> <li>• Certificate of Incorporation, or</li> <li>• Extract from the website of the body which the profile is incorporated with (e.g. Companies House // ensure the URL/Website is shown for verification purposes)</li> </ul>
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>

**Appendix 1 – System Requirements & Document Recommendations**

**Listed Entity**

<b>Document Type</b>	<b>Indicative Risk Factor</b>	<b>Suggested Document</b>
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Listed on Recognised Exchange</b>	Any	<ul style="list-style-type: none"> <li>• Certificate of Confirmation document of listing, or</li> <li>• Extract from the exchange website</li> </ul>
<b>Additional document evidencing listed status</b>	High	Document from a different source to that provided under Listed on a Recognised Exchange.
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Source of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>

**Appendix 1 – System Requirements & Document Recommendations**

**Trust**

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Trust Deed</b>	Any	Extract of the Trust Deed document which must include: <ul style="list-style-type: none"> <li>• Trustees Names</li> <li>• Settlor's Names( Including any Protectors and Enforcers)</li> <li>• Any Named Beneficiaries</li> <li>• The name of anyone holding Power of Attorney</li> </ul>
<b>Audited Accounts</b>	Standard & High	Audited Accounts of the Trustees showing accounts in respect of the Trust
<b>Source of Funds</b>	High	The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)  Please see <b>Appendix 2</b> for recommended documentation
<b>Source of Wealth</b>	High	The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)  Please see <b>Appendix 2</b> for recommended documentation

**Appendix 1 – System Requirements & Document Recommendations**

**Pension/EBT/IRA**

<b>Document Type</b>	<b>Indicative Risk Factor</b>	<b>Suggested Document</b>
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Extract of Scheme Rules / Trust Deed</b>	Any	Extract of the Scheme Rules / Trust Deed showing: <ul style="list-style-type: none"> <li>• Trustees Names</li> <li>• Details of the intended Beneficiaries (e.g. Employees of XYZ Ltd)</li> </ul>
<b>Official Registration Document</b>	Any	A document confirming the scheme is registered with an official body (e.g. tax authority or Pensions Regulator) This can be a website printout, tax form, or other document
<b>Audited Accounts</b>	Standard & High	Audited Accounts of the Trustees showing accounts in respect of the Trust
<b>Source of Funds</b>	High	The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)  Please see <b>Appendix 2</b> for recommended documentation
<b>Source of Wealth</b>	High	The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)  Please see <b>Appendix 2</b> for recommended documentation

## Appendix 1 – System Requirements & Document Recommendations

### Public Body

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Proof of Existence</b>	Any	<ul style="list-style-type: none"> <li>• Official Document confirming the existence of the Public Body, or</li> <li>• Extract from a Government website listing the Public Body (showing URL/Website)</li> </ul>
<b>Register of Directors</b>	Any	<ul style="list-style-type: none"> <li>• Printout / Copy of the Register of Directors, or</li> <li>• List of officials in control of the Public Body, or</li> <li>• Extract from Government website listing persons controlling the Public Body (showing URL/Website)</li> </ul>
<b>Audited Accounts</b>	Standard & High	Audited Accounts showing accounts in respect of the Public Body
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>

## Appendix 1 – System Requirements & Document Recommendations

### Sovereign Wealth

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Formation Documents</b>	Any	<ul style="list-style-type: none"> <li>Documents relating to the Formation of the Sovereign Wealth Fund, or</li> <li>Extract from a Government website detailing the Sovereign Wealth Fund (showing URL/Website)</li> </ul>
<b>Register of Directors</b>	Any	<ul style="list-style-type: none"> <li>Printout / Copy of the Register of Directors, or</li> <li>List of officials in control of the Sovereign Wealth Fund (e.g. Board of Governors, Trustees, Council Members), or</li> <li>Extract from Government website listing persons controlling the Sovereign Wealth Fund (showing URL/Website)</li> </ul>
<b>Investment Management Function Confirmation</b>	Any	A document from the board of the Sovereign Wealth Fund confirming its Investment Management function/purpose
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>

## Appendix 1 – System Requirements & Document Recommendations

### University

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Prospectus</b>	Any	<ul style="list-style-type: none"> <li>• University Prospectus, or</li> <li>• Extract from the Universities website (showing URL/Website)</li> </ul>
<b>Investment Management Function Confirmation</b>	Any	A document from the board of the University confirming its Investment Management function/purpose
<b>Formation Documents</b>	Standard & High	<ul style="list-style-type: none"> <li>• Documents relating to the Formation of the University (e.g. Memorandum and Articles, Trust deed, Royal Charter etc.), or</li> <li>• Extract from a Government website providing confirmation of the Formation (showing URL/Website)</li> </ul>
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>

## Appendix 1 – System Requirements & Document Recommendations

### Foundation

Document Type	Indicative Risk Factor	Suggested Document
<b>Authorised Signatory List</b>	Any	Document containing the names, signatures and signing authority of the persons authorised to act on behalf of the profile
<b>Proof of Existence</b>	Any	<ul style="list-style-type: none"> <li>• Official document confirming the existence of the Foundation, or</li> <li>• Extract from the Foundation website including any official registration details (showing URL/Website), or</li> <li>• Extract from a Public Body/Government website listing the Foundation (showing URL/Website)</li> </ul>
<b>Register of Directors</b>	Any	<ul style="list-style-type: none"> <li>• Printout / Copy of the Register of Directors, or</li> <li>• List of officials in control of the Foundation (e.g. Board of Governors, Trustees, Council Members), or</li> <li>• Extract from Foundation website listing persons controlling the Foundation (showing URL/Website)</li> </ul>
<b>Audited Accounts</b>	Standard & High	Audited Accounts showing accounts in respect of the Foundation
<b>Source of Funds</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>
<b>Proof of Wealth</b>	High	<p>The intent is for the Profile owner to show where their total wealth has originated from (e.g. Family Inheritance, Business Activities, Lottery Winnings, etc.)</p> <p>Please see <b>Appendix 2</b> for recommended documentation</p>



## Appendix 2 – Source of Wealth and Funds – Document Recommendations

### 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	<ul style="list-style-type: none"> <li>- Nature of employer's business</li> <li>- Name and address of the employer</li> <li>- Annual salary and bonuses for the last couple of years</li> <li>- Last month/recent pay slip</li> <li>- Confirmation from the employer of annual salary</li> <li>- Latest accounts or tax declaration if self employed</li> </ul>
Savings / Deposits	<ul style="list-style-type: none"> <li>- Bank statement and enquiry of the source of wealth</li> </ul>
Property Sale	<ul style="list-style-type: none"> <li>- Details of the property sold (i.e. address, date of sale, sale value of property sold, parties involved)</li> <li>- Copy of contract of sale</li> <li>- Title deed from land registry</li> </ul>
Sale of shares or other investments	<ul style="list-style-type: none"> <li>- Copy of contract</li> <li>- Sale value of shares sold and how they were sold (i.e. name of stock exchange)</li> <li>- Statement of account from agent</li> <li>- Transaction receipt/confirmation</li> <li>- Shareholder's certificate</li> <li>- Date of sale</li> </ul>
Loan	<ul style="list-style-type: none"> <li>- Loan agreement</li> <li>- Amount, date and purpose of loan</li> <li>- Name and address of Lender</li> <li>- Details of any security</li> </ul>
Company Sale	<ul style="list-style-type: none"> <li>- Copy of the contract of sale</li> <li>- Internet research of Company Registry</li> <li>- Name and Address of Company</li> <li>- Total sales price</li> <li>- Clients' share participation</li> <li>- Nature of business</li> <li>- Date of sale and receipt of funds</li> <li>- Media coverage</li> </ul>
Company Profits / Dividends	<ul style="list-style-type: none"> <li>- Copy of latest audited financial statements</li> <li>- Copy of latest management accounts</li> <li>- Board of Directors approval</li> <li>- Dividend distribution</li> <li>- Tax declaration form</li> </ul>
Inheritance	<ul style="list-style-type: none"> <li>- Name of deceased</li> <li>- Date of death</li> <li>- Relationship to client</li> <li>- Date received</li> <li>- Total amount</li> <li>- Solicitor's details</li> <li>- Tax clearance documents</li> </ul>

## Appendix 2 – Source of Wealth and Funds – Document Recommendations

Gift	<ul style="list-style-type: none"><li>- Date received</li><li>- Total amount</li><li>- Relationship to client</li><li>- Letter from donor explaining the reason for the gift and the source of donor's wealth</li><li>- Certified identification documents of donor</li><li>- Donor's source of wealth</li></ul>
Maturity / Surrender of life policy	<ul style="list-style-type: none"><li>- Amount received</li><li>- Policy provider</li><li>- Policy number/reference</li><li>- Date of surrender</li></ul>
Other incomes sources	<ul style="list-style-type: none"><li>- Nature of income, amount, date received and from who</li><li>- Appropriate supporting documentation</li></ul>