

SUMMARY GUIDE OF THE ID REGISTER

1. When you first register you will start on your user "My Account" page. This Page contains the details you entered when you registered with The ID Register however this page is not a Profile.
2. Profiles are records on the ID Register which can be created from or connected to via the "My Profiles" Page.
3. To navigate to "My Profiles" click on "The ID Register" Logo in the Top Left corner.
4. In the "My Profiles" Page is a field called "Search or create new profile"
5. Click into this field and type the name of the profile you wish to search for or create
6. The Website will start searching the records in the database when you have typed 3 or more characters (there may be a small pause while the search occurs). A list of profiles which have been set as "Public" will appear if the name contains the characters you have typed.
 - a. If you see the profile you wish to connect to click on "Connect"
 - b. This will send an invite request to users connected to that profile
 - c. They will need to accept your connection. This acceptance will make you a user of the profile also
 - d. Once you are a user, Depending on the permissions granted you will be able to either view or modify the profile details, upload CDD Documents and connect the profile to other users and profiles.
7. If there are no matches or the name you are looking for has not been set "Public" the page will show "No Profiles Found"
8. Irrespective of whether you found the profile or not when you start searching the "Create a New Profile" Button appears
9. Clicking on "Create a New Profile" opens the "New Person or Legal Entity" Form
10. Complete the details on this form including the Mandatory fields:
 - a. Entity Type (dropdown menu)
 - b. Legal Name or Forename/Surname (for individuals)
 - c. Primary Contact Email
 - d. Registered or Residential Address "City" & "Country"
11. Click "Create Profile"
12. The Profile will be created on The ID Register and you will be connected as the "Full Control" user of that profile
13. The Profile is split into a number of sections, these are:
 - a. **Profile Details** – Data from the New person or Legal Entity form – Legal Name or Forename/Surname (for individuals) and Description appear to all users provided the profile has been set "Public"
 - i. **Lead Profile** enables a Profile user to select another profile they are also a user of as a Grouping Profile (the Lead Profile). This enables:

1. Services set up in Billing at the Lead Profile level to apply to all grouped Profiles (child Profiles)
2. Adding a user to the lead Profile will automatically make them users of the child profiles.

Note: Lead Profiles is mainly intended for corporate users of The ID Register where they will have multiple profiles linked to their users.

- b. **Profile Addresses** – Data from the New person or Legal Entity form – Profile Address appear to all users provided the profile has been set “Public” and the Address has not been set to “Private”

Note – No further information is visible to users of the site when the profile is public unless that user is also connected to the profile

- c. **Due Diligence** – This is a CDD Questionnaire. Complete this and save the record before you complete any further sections.

Note – The website has a number of rules which check the data entered into the Due Diligence section and generate the Evidence Requirements and Indicative Risk Factors based on the data input into the profile so far and the type of profile it is.

- d. **Evidence** – Automated requirements generated based on the Profile’s indicative risk factors, Profile Type and details entered into the address and Due Diligence section.

Each evidence requirement should have a document uploaded against it (e.g. Proof of address, Proof of ID etc)

Uploaded evidence documents can be submitted to a suitable certifier through the site. This allows the certification of uploaded documents electronically.

- e. **Indicative Risk Factors** – Automated Risk Factors generated based on details entered into the Address and Due Diligence section.

Each Indicative Risk Factor has a comments field and the ability to upload documents should the profile user not agree with the indicative risk shown (e.g. You have links to Russia which has an indicative risk of “High” however your links are via a regulated entity in a jurisdiction recognised as low risk.

Investor services will review any comments/documents entered and together with their own review determine what the actual indicative risk factor should be.

- f. **FATCA & CRS Reportable Jurisdictions** – Automated based on details entered into the Address and Due Diligence section.

Each profile, based on the nationality, address and tax residence may be FATCA and/or CRS reportable by its investments where the profile is connected to the investment profile as an investor. This section enables the profile owner to see which jurisdictions will receive this reporting.

- g. **Screening** – Automatic screening of profiles in the ID Register against sanctions lists, adverse media reports and Politically Exposed Persons registers.

The ID Register continuously screens profiles against a number of different data sources. Potential matches are reviewed by an analyst and where a match is confirmed this is shown on the profile. In addition The ID register will send a notification to users of the profile advising of the match. This improves transparency for users of the ID Register.

14. **This Profile is Connected to** - The Profile can be connected to other profiles in the section “This Profile is Connected to” visible at the Top right of the profile adjacent to Profile Details.
- a. The Search field works in the same manner as the “My Profiles” Search bar. (5)
 - b. Type in the name of the Profile you wish to create a relationship with (e.g. a fund you are investing in or a Director of your profile).
 - c. If the Profile exists in the ID Register and is a Public Profile its name will appear
 - d. You can select your relationship with the profile from a drop down (e.g. ABC Capital is my [Investment])
 - e. Once the relationship is selected click “+Add”
 - f. Provided you are not also a user of the profile being connected to the profile user of the relationship profile will need to accept the connection request (Pending connections appear in Red on your profile).
 - g. Alternatively, if you cannot see the profile you can:
 - i. Create the profile yourself (if you are an appropriate person to do so (e.g. a Fund administrator adding a director of the fund) or
 - ii. Send an email invitation to the email address of the person who should own the profile (When the person creates the profile though the email the Relationship will be added automatically).
15. **Profile Users** – In addition to a Person connecting to a profile as a user via “My Profiles” a Profile User with “Full Control” permissions can also add another user of the ID Register to their profile.
- a. The Search field works in the same manner as the “My Profiles” Search bar. (5) except it searches site users and not Profiles.
 - b. Type in the name of the User you wish to add to the profile (e.g. a work colleague).
 - c. If the user has already registered with the site they will appear below the search field
 - d. You will need to set their permission level:
 - i. Full Control – Write permissions including adding new users and billing
 - ii. Write – Write permissions but unable to add new users or modify billing
 - iii. Read – Can read the profile but cannot edit
 - e. Alternatively, if you cannot see the user you can
 - i. Send an email invitation to the email address of the person who should be a user of the profile.
 - ii. Once they register they will be added as a user of the Profile automatically with the permissions you gave them
16. **FATCA & CRS** – This is used by corporate clients and is primarily used when the profile has been registered for FATCA and CRS reporting
- a. **Classification** – a two part section

- i. **Questionnaire** – Developed in conjunction with KPMG the Questionnaire helps a profile owner determine what the status of the Profile is (e.g. US FATCA Foreign Financial Institution).
 - ii. **I've Already Classified** – Where the profile owner already knows their classification this can be put in for FATCA & CRS using the Drop downs
 - b. **Registration** – Details of the FATCA GIIN, Reporting Country and reportable officer are entered here.
 - c. **Investigation** – This will list any profiles that are connected as beneficial owner or investor relationships. From here profile users will be able to set the Year end balances and payments made during the year for their investors which is then used to generate the FATCA and CRS xml returns.
17. **Billing** – This is used primarily by corporate clients who wish to subscribe to our services [**UNDER CONSTRUCTION**]. Services that can be subscribed to are:
- a. **FATCA & CRS** – The ID register will generate and submit the profile's FATCA and CRS reporting on an annual basis using the data populated in the Profile on The ID Register & the Profiles of the Connected Beneficial Owner or Investor Relationships
 - b. **FATCA & CRS KPMG Review** – KPMG will review the FATCA and CRS status.
 - c. **KYC** – Enables users of the profile to download the CDD Packs for those profiles connected to the users profile with relationships (e.g. Beneficial Owner or Investor).