

DOCUMENTATION GUIDELINES FOR CORPORATE ENTITIES

Please provide certified copies of the documents shown below. Do not send originals of documents.

For UK/EU/EEA regulated companies, copies must be certified and dated by an authorised signatory or company secretary within the firm. For all other entities, copies must be certified and dated by an independent professional or regulated person subject to the anti-money laundering regulations and include the signature, name and position of the person signing. The certification must be dated within the last 6 months.

Listed Public Company

We require:

- Confirmation of Stock Exchange Listing
- Completed Wolfsberg Questionnaire dated within the last 12 months, where this is applicable
- Up-to-date Authorised Signatories list

UK/EU/EEA Regulated Firm

We require:

- Confirmation of regulator and reference number
- Completed Wolfsberg Questionnaire dated within the last 12 months
- Full List of Directors, Shareholders, Beneficial Owner(s) and Person(s) of Significant Control (PSC); including full name, residential address and date of birth of each individual – please note we may attempt electronic verification checks and request verification documents where required. See Beneficial Owner and Controller Guidelines for more information
- Up-to-date structure chart, including ownership percentages
- Up-to-date Authorised Signatories list

Non-UK/EU/EEA Regulated Firm

We require:

- Confirmation of regulator and reference number
- Completed Wolfsberg Questionnaire dated within the last 12 months
- Certificate of Incorporation (or equivalent)
- Memorandum and Articles of Association (or equivalent)
- Full List of Directors, Shareholders, Beneficial Owner(s) and Person(s) of Significant Control (PSC); including full name, residential address and date of birth of each individual – please note we may attempt electronic verification checks and request verification documents where required. See Beneficial Owner and Controller Guidelines for more information
- Up-to-date structure chart, including ownership percentages
- Up-to-date Authorised Signatories list



SMART PEOPLE
SUPERB TECHNOLOGY

Nominee owned by a Regulated Firm

We require:

- Confirmation of regulated parent (please complete enclosed Letter of Assurance)
- Completed Wolfsberg Questionnaire dated within the last 12 months
- Full List of Directors, Shareholders, Beneficial Owner(s) and Person(s) of Significant Control (PSC); including full name, residential address and date of birth of each individual – please note we may attempt electronic verification checks and request verification documents where required. See Beneficial Owner and Controller Guidelines for more information
- Up-to-date structure chart, including ownership percentages
- Up-to-date Authorised Signatories list

Nominee owned by a Non-regulated Firm

We require:

- Certificate of Incorporation (or equivalent)
- Memorandum and Articles of Association (or equivalent)
- Confirmation of Senior Manager(s) responsible for operations
- Full List of Directors, Shareholders, Beneficial Owner(s) and Person(s) of Significant Control (PSC); including full name, residential address and date of birth of each individual – please note we may attempt electronic verification checks and request verification documents where required. See Beneficial Owner and Controller Guidelines for more information
- Up-to-date structure chart, including ownership percentages
- Up-to-date Authorised Signatories list

Private Corporate Company

We require:

- Certificate of Incorporation (or equivalent)
- Memorandum and Articles of Association (or equivalent)
- Confirmation of Senior Manager(s) responsible for operations
- Full List of Directors, Shareholders, Beneficial Owner(s) and Person(s) of Significant Control (PSC); including full name, residential address and date of birth of each individual – please note we may attempt electronic verification checks and request verification documents where required. See Beneficial Owner and Controller Guidelines for more information
- Up-to-date structure chart, including ownership percentages
- Up-to-date Authorised Signatories list