

# INTRODUCTION CERTIFICATE (COMPANIES / TRUSTS)

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**FIRSTRAND**  
Private Wealth Management

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**This Form Includes:**

Introduction Certificate  
(Companies / Trusts)

Schedule (Information Profile)



# Introduction Certificate (Company / Trusts)

Signed on behalf of FirstRand Private Wealth Management Limited

**To:**

Name	
Address	
Town	
Postcode	
Country	

Name	
Position	
Date	□□/□□/□□□□

## Schedule (Information Profile)

### Applicant

Name	
(Registered office) Address	
Town	
Postcode	
Country	

### Identification Information

We certify that we have confirmed the identity and verified the address of the Applicant and have:

- seen the original or certified copies of the documents detailed below
- checked any documents requiring signature were pre-signed
- confirmed /obtained confirmation that any associated photograph of the applicant bore a good likeness to the applicant
- retained copies

Correspondence address	
Town	
Postcode	
Country	

### Evidence of identity and verification of address

#### Identification

Date of incorporation / registration / establishment	□□/□□/□□□□
Identification number	

### Assurance

We confirm that we have identified and verified the identity of the Applicant in accordance with our customer due diligence procedures which are in line with the provisions of the Money Laundering (Jersey) Order 2008, as amended from time to time.

We confirm that the information contained in this Certificate accurately reflects the due diligence records held by us.

We confirm that either the Applicant is:

- applying on the Company's / the Trust's own behalf and is not acting as nominee or fiduciary capacity for any other person(s);
- or
- acting as a power of attorney, nominee or fiduciary for any other person(s).

### Registered address verification

Document type	
Reference number	
Issue date	□□/□□/□□□□

### Correspondence address verification

Document type	
Reference number	
Issue date	□□/□□/□□□□

We agree to provide other relevant due diligence information and copies of documentation establishing evidence of identity of the Applicant upon request.

**Relationship Information**

Purpose / Intended nature of business relationship

Yellow form area for Purpose / Intended nature of business relationship

Type, volume and value of activity expected

Yellow form area for Type, volume and value of activity expected

Source of funds

Yellow form area for Source of funds

Source of wealth (if applicable)

Yellow form area for Source of wealth (if applicable)

Details of associated relationships

Yellow form area for Details of associated relationships

**Additional information**

Ownership and control, including underlying companies

Yellow form area for Ownership and control, including underlying companies

Nature of activities and geographical sphere

Yellow form area for Nature of activities and geographical sphere

Classes of beneficiaries (for trusts only)

Yellow form area for Classes of beneficiaries (for trusts only)

**Risk Factors**

Risk factors identified (provide details)

Yellow form area for Risk factors identified (provide details)

Is the Applicant associated with a PEP?

Yes  No

Is the Applicant connected with a high risk jurisdiction?

Yes  No

Is the Applicant involved in trading?

Yes  No

Are commission / consultancy fees a source of wealth?

Yes  No

Is the Applicant part of a complex structure?

Yes  No

Are bearer shares an issue?

Yes  No

**Directors / Beneficial Owners / Trustees / Principal**

**Person 1**

Director	<input type="checkbox"/>
Beneficial owner	<input type="checkbox"/>
Trustee	<input type="checkbox"/>
Principal	<input type="checkbox"/>

**Person 2**

Director	<input type="checkbox"/>
Beneficial owner	<input type="checkbox"/>
Trustee	<input type="checkbox"/>
Principal	<input type="checkbox"/>

Legal name, former names (such as maiden name) and any other names used	
Role	
Principal residential address	
Town	
Postcode	
Country	
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Legal name, former names (such as maiden name) and any other names used	
Role	
Principal residential address	
Town	
Postcode	
Country	
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**Standard and higher risk individuals only**

Place of birth	
Nationality	
Sex	

**Standard and higher risk individuals only**

Place of birth	
Nationality	
Sex	

Government issued personal identification number or other government issued unique identifier	

Government issued personal identification number or other government issued unique identifier	

**Person 3**

Director	<input type="checkbox"/>
Beneficial owner	<input type="checkbox"/>
Trustee	<input type="checkbox"/>
Principal	<input type="checkbox"/>

**Person 4**

Director	<input type="checkbox"/>
Beneficial owner	<input type="checkbox"/>
Trustee	<input type="checkbox"/>
Principal	<input type="checkbox"/>

Legal name, former names (such as maiden name) and any other names used	
Role	
Principal residential address	
Town	
Postcode	
Country	
Date of birth	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Legal name, former names (such as maiden name) and any other names used	
Role	
Principal residential address	
Town	
Postcode	
Country	
Date of birth	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**Standard and higher risk individuals only**

Place of birth	
Nationality	
Sex	

**Standard and higher risk individuals only**

Place of birth	
Nationality	
Sex	

Government issued personal identification number or other government issued unique identifier	

Government issued personal identification number or other government issued unique identifier	



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FirstRand Private Wealth Management Limited is regulated by the Jersey Financial Services Commission in the carrying on of investment business and is a Member of the FirstRand Group.