

INTRODUCTION CERTIFICATE (INDIVIDUALS)



FIRSTRAND
Private Wealth Management

This Form Includes:

Introduction Certificate (Individuals)

Schedule (Information Profile)



Introduction Certificate (Individuals)

To:

Name	
Address	
Town	
Postcode	
Country	

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

Signed for on behalf of **FirstRand Private Wealth Management Limited**

Name	
Position	
Date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Applicant

Title	
Surname / Family name	
Other names	
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"/>

Schedule (Information Profile)

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

Evidence of identity and verification of address

Identification

Document type	
Reference number	
Issued by / country of issue	
Expiry date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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 his / her 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).

Address Verification

Document type	
Reference number	
Issued by / country of issue	

Relationship Information

Purpose / Intended nature of business relationship including geographical sphere

[Yellow form area for Purpose / Intended nature of business relationship including geographical sphere]

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]

Name of regulator, if applicable

[Yellow form area for Name of regulator, if applicable]

Additional information

[Yellow form area for Additional information]

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



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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.