

# Money Laundering Regulations

CONFIRMATION OF VERIFICATION OF IDENTITY  
CORPORATE AND OTHER NON-PERSONAL ENTITY  
INTRODUCTION BY A FINANCIAL CONDUCT AUTHORITY REGULATED FIRM,  
EU REGULATED FINANCIAL SERVICES FIRM,  
NON-EU REGULATED FINANCIAL SERVICES FIRM

## DETAILS OF CUSTOMER (see explanatory notes below)

*Please complete a separate certificate for all parties to the contract (e.g. joint applicants, trustees, settlors and third parties) where you have been required to undertake identification.*

Full name of customer

Type of entity (Sole Trader/Partnership/Limited Liability Partnership/Limited Company etc)

Location of business (full operating address)

Registered office in country of incorporation

Registered Number, if any (or equivalent)

Relevant company registry or regulated market listing authority

Full Names of Directors or equivalent and dates of birth

Full Names of principal beneficial owners and dates of birth (25% or more)

Names of any other parties exercising significant control

Type/Nature of business & VAT No (if applicable)

## Section A

### CONFIRMATION - Financial Conduct Authority regulated firm

I/we confirm that

- (a) the information in the section above was obtained by me/us in relation to the customer;
- (b) the evidence I/we have obtained to verify the identity of the customer: [tick only one]

meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group (JMLSG); or

exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

### CONFIRMATION - EU Regulated Financial Services Firm

We confirm that

- (a) the information in the section above was obtained by us in relation to the customer;
- (b) the evidence we have obtained to verify the identity of the customer meets the requirements of our national money laundering legislation that implements the EU Money Laundering Directive, and any relevant authoritative guidance provided as best practice in relation to the type of business or transaction to which this confirmation relates;
- (c) where the underlying evidence taken in relation to the verification of the customer's identity is held outside the UK, in the event of any enquiry from UK law enforcement agencies or regulators, copies of the relevant customer records will be made available under court order or relevant mutual assistance procedure, to the extent that we are required under local law to retain these records.

### CONFIRMATION - Non-EU Regulated Financial Services Firm

We confirm that:

- (a) the information in the section above was obtained by us in relation to the customer;
- (b) the evidence we have obtained to verify the identity of the customer meets the requirements of local law and regulation;
- (c) where the underlying evidence taken in relation to the verification of the customer's identity is held outside the UK, in the event of any enquiry from UK law enforcement agencies or regulators, copies of the relevant customer records will be made available under court order or relevant mutual assistance procedure, to the extent that we are required under local law to retain these records.

## Section B

Jurisdiction													
Name of Regulator													
Full Name of Regulated Firm													
Regulator Reference Number				Company Stamp									
Signed*													
Print Name													
Position													
Date													
	D		D	M		M	Y		Y		Y		Y

\* Note that the person who has seen the original documentary evidence must sign this certificate.

### Explanatory notes

1. "Relevant company registry" includes other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.
2. This form cannot be used to verify the identity of any customer that falls into the following categories:
  - those who are exempt from verification as being an existing client of the introducing firm prior to the adoption of our national legislation that implements the EU Money Laundering Directive.
3. This confirmation must carry an original signature, or electronic equivalent.

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**(GN01780)** in large print, braille, as audio,  
or in a different colour.