

## Client Due Diligence

### Company data form

Name of Client:

*Role in relation to the Client (tick all relevant)*

- Client entity to be administered by Beauvoir
- Beneficiary
- Controller
- Councillor
- Director
- Enforcer
- Founder
- Guardian
- Investor
- Other \_\_\_\_\_ (e.g. signatory / power of attorney)
- Partner
- Protector
- Shareholder (minority / majority)
- Trustee

## Notes to completion

Under the Bailiwick of Guernsey's regulations for the prevention of money-laundering and the financing of terrorism we are required to collate identity information and verification of identity prior to the acceptance of new business.

Please provide an answer to all questions. To assist you with the completion of this form, please refer to the;

**\*Client Due Diligence Guidance note (Appendix I) and where required, the Source of Funds / Wealth declaration (Appendix ii)**

### Identity information

Full legal name of Company

Any previous name(s), including trading name(s)

Yes provide details below  No  N/A

Country of incorporation

Incorporation date

Company number

Registered office address

Principal place of business (where different)

### Director information

For all Directors attach completed CDD questionnaire

Yes  No

Full legal name(s) of all Directors

### Shareholders

*Including the natural persons who ultimately owns or controls the Company*

For all Shareholders attach completed CDD questionnaire

Yes  No

Full legal name(s) of all Shareholders

Attach structure chart with shareholding and percentages

Yes  No

### Company secretary

Attach completed CDD questionnaire

Yes  No

**Authorised signatories (where different from above)**

CDD questionnaire attached

Yes  No

**Day to day contact information**

Contact telephone number

Email address

Preferred method of communication

**Tax information**

Have you received tax advice in relation to the proposed structure?

Country of residence for tax purposes

Name of reporting tax authority

Tax ID no. (If no number available, please explain reason)

If yes please provide details:

**Additional questions**

*If you answer 'Yes' to any of the questions in this section, please give full details on a separate sheet.*

Have the company had any legal action taken against it?

Yes  No

Has the company or its beneficial owners or directors ever been subject to a tax investigation by any authority in the world?

Yes  No

Has the company any known present or future creditors who may legally have a claim to any assets to be administered by Beauvoir?

Yes  No

**Where applicable, provide an overview of why you wish Beauvoir to administer the Client / Company including where applicable the rationale for seeking another services provider**

**Overview of Company and assets**

Provide an overview of the activities of the Company including any significant asset contributor, assets held and disposed of and any additional background information that you consider may be relevant for example any change in Directors, shareholders, activities of the Company since it was incorporated:

**Declaration by Director(s) of the Company**

I, (Insert full legal name)

I, (Insert full legal name)

Confirm that:

- I am authorised to act on behalf of the Company in signing this questionnaire.
- the information contained within this questionnaire is correct to the best of my knowledge and belief.
- the source or origin of any further assets that may be introduced to you will be explained prior to transfer and where requested, we will provide corroborative documentation; and
- I understand Beauvoir Group Limited and its subsidiaries cannot provide professional, legal and tax advice and that we should obtain such advice concerning our financial affairs. Beauvoir Group Limited and its subsidiaries cannot be held responsible for any advice expressly obtained or advice not sought by us or any or all related person's that are party to the affairs of the Company.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

***Beauvoir reserves the right to request documentary evidence of the explanations provided if deemed appropriate to do so. Beauvoir also reserves the right to request further documentation in addition to that provided in relation to any part of this questionnaire if it is necessary to fulfil its due diligence requirements.***

## Appendix i - Client Due Diligence Guidance Notes on completion

Please ensure that you have completed the questionnaire in its entirety and attach **ALL** documents requested within the questionnaire and below that form part of the due diligence process, taking note of the certification requirements for copy documents. If the due diligence is incomplete we will be unable to proceed with a business relationship until such a time as it has been obtained.

Please ensure that each document provided is clear / legible and in date i.e. not expired

### 1. IDENTIFICATION DOCUMENTATION \*suitably certified

1. Certificate of incorporation (or equivalent)
2. Memorandum and Articles of Incorporation (or equivalent)
3. Register of Directors
4. Register of Shareholders (and certified copies of declaration of trust if the shares are not in the name of the ultimate beneficial owners)

Attached



### 2. ADDRESS VERIFICATION \*suitably certified

1. Most recent Annual Return
2. Most recent financial statements (where possible, audited)

Attached



Where a \*suitably certified copy, it must be certified by a person that meets the criteria of a 'suitable certifier' as follows:

- a member of the judiciary, a senior civil servant, or a serving police or customs officer;
- an officer of an embassy, consulate or high commission of the country or territory of issue of documentary evidence of identity;
- a lawyer or notary public who is a member of a recognised professional body;
- an actuary who is a member of a recognised professional body;
- an accountant who is a member of a recognised professional body;
- a member of the Institute of Chartered Secretaries and Administrators; or
- a director or officer of an **Appendix C** business (see the definition in Appendix C to the GFSC Handbook).

### **Wording to be used by the certifier: (including other documents provided as part of Appendix iii of this questionnaire)**

The certification wording must be on the same page as the certified copy document, or attached by way of an accompanying letter (exceptions are made for notarised documents where a seal has been used).

*"I certify that I have met the individual and seen the original document, I certify that this copy is a complete and accurate copy of the original"*

### **All documents**

The certifier must include the following information on the same page as the certification and signature:

- their full name in print and legible;
- their signature;
- date of certification;
- the professional position or capacity in which they are signing including professional body membership details where relevant and full job title;
- contact email and/or address; and
- contact telephone number.

## Appendix ii – Source of Funds / Wealth declaration

Where you are the Settlor whether sole or joint / asset contributor or ultimate beneficial owner, we are required to obtain information regarding the Source of Funds (“SoF”) to be placed into the Structure to be administered by us. In addition to SoF, we are also required to obtain sufficient information and corroboration to help us understand your Source of Wealth (“SoW”) which includes your overall wealth / total net worth.

In order to assist you in providing the SoF/SoW information and corroboration required, please complete this Appendix with as much information as possible, avoiding where possible generic responses / terms such as ‘employment’ or ‘inheritance’. Where you are providing copy documents to assist with corroboration, please refer to the ‘suitable certifier’ requirements in Appendix i.

As part of our review of the information and corroboration provided, we may require additional clarification / corroboration to assist us as part of the on-boarding process. We may also be required to contact you throughout the duration of our relationship with you with requests to assist us with keeping information we hold on you adequate and up to date.

To assist you with the completion of this declaration, we have provided a matrix (section C) of examples of acceptable information, details, along with methods of corroboration to support the information you have provided.

Where this declaration is being completed by a legal or tax advisor, please ensure that their third party declaration is fully completed.

Full legal name of individual who is the: (Settlor, asset contributor / ultimate beneficial owner)	
Position within the Structure to be administered	

<b>Third Party declaration by a legal / accountant / tax advisor</b>	<i>If not applicable, strike through with “N/A”</i>
Full name of individual completing this declaration	
Professional position or capacity held	
Professional body membership	
Full name of employer (where applicable)	
Contact email / telephone number	

## Section A - Source of Funds

Please provide details of the funds / assets to be transferred into the Client Structure, including the expected date of receipt and value. Please refer to the examples in the attached matrix. If additional space is required, please provide in a separate sheet in a similar format as per the below:

### Overview of the Source of Funds expected into the structure

Date	Value	Overview including remitter	Corroboration provided

## Section B - Source of Wealth

Your Source of Wealth is defined as the activities which have generated your **OVERALL / TOTAL NET WEALTH** and are distinct from your Source of Funds. There may be multiple sources of wealth over an extended period of time that contribute to your **OVERALL / TOTAL NET WEALTH**.

In order to assist us with progressing the on-boarding process, we ask that you provide detailed information on your journey to wealth, avoiding generic responses / information. Please refer to the examples in the attached matrix.

If additional space is required, please provide in a separate sheet in a similar format as per the below:

### Overview of your wealth journey

Dates from and to	Business name / Wealth contributor (Employer, Company, business venture) (Inheritance, Divorce, Property sale)	Position(s) held	Estimated salary / income (including any shareholding, dividends etc.)	Corroboration provided



## Section C- matrix of examples of acceptable information / corroboration

Examples SoF/SoW	Information required	Example corroboration
Assets held	<ul style="list-style-type: none"> <li>Property</li> <li>Artwork</li> <li>Jewellery</li> </ul>	<ul style="list-style-type: none"> <li>Copy of Title deed evidencing purchase date and owner; or</li> <li>Letter from custodian along with estimated value.</li> </ul>
Company profit <i>(for each company owned)</i>	<ul style="list-style-type: none"> <li>Full name of Company including any trading name</li> <li>Overview of, including country / geographical scope of business activities</li> <li>Average income including dividends during period</li> <li>Explanation of peaks / troughs in financials</li> </ul>	<ul style="list-style-type: none"> <li>Audited, or where unavailable un-audited financial statements for the relevant company; and</li> <li>where evidence of profit / dividend is not clear, a letter of attestation from the Company CFO / auditor.</li> </ul>
Company sale or sale of an interest / shareholding in a Company	<ul style="list-style-type: none"> <li>Full name of Company including any trading name</li> <li>Overview of, including country / geographical scope of business activities</li> <li>Ownership percentage, type of shares value at purchase and profit made from sale</li> </ul>	<ul style="list-style-type: none"> <li>Relevant section of the Sale and Purchase agreement; or</li> <li>Previous marketing material.</li> </ul>
Employment (salary / bonuses)	<ul style="list-style-type: none"> <li>Full name of Company including any trading name</li> <li>Overview of, including country / geographical scope of business activities</li> <li>Average salary and bonuses etc. during period</li> </ul>	<ul style="list-style-type: none"> <li>3 consecutive salary slip including bonus information;</li> <li>Employment contract; or</li> <li>Tax assessment evidencing income.</li> </ul>
Gift	<ul style="list-style-type: none"> <li>Amount of and reason for gift</li> <li>Full name of benefactor</li> <li>Relationship to benefactor</li> <li>Source of gift</li> </ul>	<ul style="list-style-type: none"> <li>Letter from donor confirming details of the gift and acknowledging the source of the donated funds.</li> </ul>
Inheritance	<ul style="list-style-type: none"> <li>Amount received and date(s)</li> <li>Type of assets received</li> </ul>	<ul style="list-style-type: none"> <li>Grant of Probate (with a copy of the will) which must include the value of the estate or bank statements / solicitor's letter</li> </ul>
Investment returns (dividends, share sale, maturing investment or insurance policy etc)	<ul style="list-style-type: none"> <li>Date of investment(s) purchase and price</li> <li>Overview of gains made since purchase</li> </ul>	<ul style="list-style-type: none"> <li>Contract note evidencing purchase;</li> <li>Investment portfolio statements showing investment gains; or</li> <li>Contract note evidencing sale.</li> </ul>
Loan	<ul style="list-style-type: none"> <li>Full name and address of lender</li> <li>Full terms of loan</li> <li>Purpose of loan</li> </ul>	<ul style="list-style-type: none"> <li>Copy of loan agreement or recent loan statement</li> </ul>
Property sale	<ul style="list-style-type: none"> <li>Full address of property(ies)</li> <li>Date purchased and amount paid</li> <li>Date of sale and amount received</li> </ul>	<ul style="list-style-type: none"> <li>Copy of sale contract evidencing seller, date and value; or</li> <li>Letter from solicitor who completed sale confirming sale price.</li> </ul>
Entrepreneurial (Active / former)	<ul style="list-style-type: none"> <li>Overview of activities including any company(ies) / individuals involved with and their activities</li> <li>Duration of involvement and any investment gains</li> <li>Year and details of sale of business / shareholding</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of activities;</li> <li>Financial statements; or</li> <li>Legal agreements evidencing involvement and any financial gains.</li> </ul>