

BEAUVOIR

Alternate Perspectives

Client Due Diligence

Individual personal data form



Beauvoir Limited Registered No:34157 is licensed by the Guernsey Financial Services Commission under The Regulation of Fiduciaries, Administration Businesses and Company Directors, etc. (Bailiwick of Guernsey) Law, 2020 and The Protection of Investors (Bailiwick of Guernsey) Law, 2020.

Role (tick all relevant)

- Beneficiary
- Controller
- Councillor
- Director
- Enforcer
- Founder
- Guardian
- Investor
- Other _____ (e.g. signatory / power of attorney)
- Partner
- Protector
- Settlor (including co-settlor / economic)
- Shareholder (minority / majority)
- Trustee

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Notes to completion

Under the Bailiwick of Guernsey's regulations for the prevention of money-laundering, the financing of terrorism and countering proliferation financing, Beauvoir must collate identity information and verify your identity prior to the acceptance of a new business relationship. Beauvoir must also ensure that identity information held on file is reviewed and kept up to date throughout the duration of the Client relationship.

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

[Client Due Diligence guidance notes \(appendices i & ii\)](#) and where required, the [Source of Funds / Wealth declaration \(Appendix iii\)](#)

Identity information

Full legal name (*first name, surname*)

Any previous name(s), such as maiden name or other names used.

Yes, *provide details below* No

Principal residential address

Other residential address (*Including number of days you spend at this property each year*)

Nationality (*include any other nationality or citizenship*)

Date of birth (*dd/mm/yyyy*)

Place of birth

Country of domicile

Passport or national identity card number

Passport or national identity card number expiry date

Employment

Occupation / job title

Full name of employer (*where appropriate*) or your company / business trading name if self-employed

Public function(s)

With reference to [Appendix ii](#), do you, or does a close family member hold, or previously hold a **prominent public position*?

Yes No

Provide positions held and period held, including dates, where a close family member, provide their full name:

With reference to Appendix ii, are you a close associate of a person who holds a *prominent public position?

Yes No Include their full name and position(s) held.

Tax information

Have you received tax advice in relation to the proposed structure? (provide details)

Country of residence for tax purposes

Name of reporting tax authority

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

National Insurance number

Are you a US citizen, US national or have any other connection to the US? (a person is a US citizen by birth or naturalisation)

Yes No

If yes, please provide details:

Contact information

Contact telephone number

Email address

Preferred method of communication

Additional questions

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

Have you ever been convicted of a criminal offence?

Yes No

Have you been the subject of any criminal or civil litigation anywhere in the world?

Yes No

Have you ever been subject to a tax investigation by any authority in the world?

Yes No

Have you any known creditors who may legally have a claim to any assets to be administered by Beauvoir?

Yes No

Have you ever been declared bankrupt in any country or ever been a director or otherwise concerned in the management of a company that has been subject to an insolvent liquidation that has resulted in disqualification or been subject to a Judicial Enquiry?

Yes No

Background to Wealth

Where you are the settlor (including economic settlor), founder, asset contributor (investor) or beneficial owner, please complete the Source of Funds / Wealth declaration at **appendix iii**, before signing the below declaration

- Yes completed Not applicable

Declaration

I, (Insert full legal name: first name, surname)

confirm that:

- I am acting in my personal capacity and not acting on behalf of a third party.
- Where I am a settlor, founder, shareholder, beneficial owner and/or director, or equivalent, I am not acting in a nominee capacity on behalf of another person.
- the information is correct to the best of my knowledge and belief and authorise Beauvoir Group Limited and its subsidiaries to verify the information provided.
- Where I am the settlor, asset contributor (investor) or beneficial owner, the source or origin of any further assets that may be introduced to you will be explained prior to transfer and where requested, I will provide corroborative documentation; and
- I understand Beauvoir Group Limited, and its subsidiaries, cannot provide professional structuring, legal and tax advice and that I should obtain such advice concerning my financial affairs. Beauvoir Group Limited and its subsidiaries cannot be held responsible for any advice expressly obtained or advice not sought by me or any or all related persons that are party to the affairs of the proposed structure.

Signature

Date

Beauvoir reserves the right to request documentary evidence of the responses provided in this form. Beauvoir also reserves the right to request further documentation in addition to that provided in relation to any part of this questionnaire where it deemed is necessary to fulfil its due diligence requirements.

Appendix i - Client Due Diligence Guidance Notes on completion

Please ensure that you have completed the client due diligence questionnaire in its entirety and attach all documents requested below that form part of the client due diligence process, taking note of the certification requirements for copy documents. If the due diligence documentation provided is incomplete, or does not meet the below requirements, Beauvoir will be unable to proceed with the new business process, or updating an existing 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

A ***suitably certified** copy passport that includes photo and signature pages. Where a passport is unavailable, please provide a ***suitably certified** copy of both sides of either a national identity card or driving license that contains photo identity and signature.

Attached

2. ADDRESS VERIFICATION PRINCIPLE RESIDENTIAL ADDRESS

An original or ***suitably certified** copy of a bank statement or utility bill in your name which must be no more than three months old. Where a utility bill is unavailable, please advise us and we will discuss alternative methods of verification with you.

Attached

***suitably certified must be certified by a person that meets the criteria of a 'suitable certifier' as follows:**

- **accountant** who is a member of a recognised professional body;
- **actuary** who is a member of a recognised professional body;
- **director or senior officer** of an **Appendix C** regulated financial services business (see the definition of Appendix C to the GFSC Handbook www.gfsc.qg)
- **lawyer or notary public** who is a member of a recognised professional body;
- **member of the Institute of Chartered Secretaries and Administrators;**
- **member of the judiciary, a senior civil servant, or a serving police officer or serving customs officer; or**
- **officer of an embassy, consulate, or high commission.**

Wording to be used by the suitable 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 **suitable certifier** must include the following information:

- 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 - Definition of a prominent public function

Definition of prominent public function and/or position for an international organisation otherwise known as a “Politically Exposed Person” (“PEP”)

Prominent public function

- (i) head of state or head of government;
- (ii) Senior politician and other important officials of political parties;
- (iii) Senior government officials;
- (iv) Senior member of the judiciary;
- (v) Senior military officers; and
- (vi) Senior executives of state-owned body corporates

International organisation

- (i) Established by a formal political agreement between its member states that has the status of an international treaty;
- (ii) Which is not treated as a resident institutional unit of the country in which it is located

Further examples of positions that are considered to be a PEP

- Cabinet officials
- Senior officials overseeing key infrastructure sectors
- Senior officials overseeing non-infrastructure sectors
- Municipal level officials
- Regional officials
- Senior legislative branch
- Ambassadors and top diplomatic officials
- International sporting officials
- International government organisation officials
- Government owned enterprises

Immediate family member of a PEP

- Spouse
- Partner
- Parent
- Child
- Sibling
- Parent-in-law; and
- Grandchild

Close associate of a PEP

- A person who is widely known to maintain a close Business relationship with an individual who holds A prominent public function
- A person who is in a position to conduct substantial Financial transactions on behalf of a PEP
- A partner (e.g. girlfriend / boyfriend)

Appendix iii – Source of Funds / Wealth declaration

Where you are the Settlor whether sole or joint, investor, 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	

Third Party declaration by a legal / accountant / tax advisor	<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

Blank area for providing detailed information on your journey to wealth.

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