

DECEMBER 2022

Please find below further guidance on the documentation we require for anti-money laundering identification purposes. Please note the information listed here is for illustrative purposes only and we may request additional documentation.

Trusts

- Certified copy of the Trust Deed and any subsequent deeds of amendment, appointment or retirement of trustees and/or protector
 - Extract from the trust registration Service (if applicable)
 - ID and address verification for any individual trustees, the settlor and protector (if applicable)
 - Names of beneficiaries (if applicable)
 - If funds are to be paid out to a beneficiary, ID and address verification of the beneficiary
 - A recent bank statement (issued within 3 months) for the trust bank account.
- If the scheme is not registered with the HMRC or local tax authority, additional documentation will also be required for the scheme, depending on entity type. Please refer to the guidance here for the relevant entity type.
 - Evidence of pension scheme e.g. Trust Deed or scheme document, including any deeds of amendment, appointment or retirement of trustees
 - Names and addresses of all trustees
 - Name and address of corporate employer
 - Authorised Signatory List for the scheme administrator
 - Evidence that the individual(s) acting for the scheme provider has appropriate authority. ID and address verification may be required.

Additional requirements if there is a corporate trustee:

- Names of all Directors
- Authorised Signatory List
- ID and address verification for at least two Directors
- ID and address verification of any other individual named on the application form

Enhanced due diligence will apply in higher risk scenarios and additional information and / or documentation may be requested.

Pension Schemes

Small Self Administered Scheme (SSAS) or other occupational pension schemes

- Evidence of scheme's registration with the HMRC or local tax authority
- If the scheme is not registered with the HMRC or local tax authority, ID and address verification for all individual parties

Personal Pension Schemes

- Evidence that pension scheme is registered with the HMRC or the Pensions Regulator (for UK schemes)
- ID and address verification for individual member / pension holder
- ID and address verification for the pension provider / trustee (if not already identified)
- Evidence that the individual(s) acting for the pension provider / administrator have appropriate authority
- Authorised Signatory list for pension provider / administrator.

Additional requirements apply for non-UK pension schemes:

- Evidence of pension scheme e.g. Trust Deed or scheme document, including any deeds of amendment, appointment or retirement of trustees
- Identification of corporate trustee / administrator
- Evidence that client / pension holder is a member of the scheme
- Information on source of wealth
- Information on source of funds
- Information on investment amount and intended activity.

Enhanced due diligence will apply in higher risk scenarios and additional information and / or documentation may be requested.

Charities

- Evidence of registration with the Charity Commission
- If the charity is not registered with the Charity Commission, additional information and / or documentation will be requested. Please refer to the guidance for your entity type
- Evidence of scheme document e.g. certified copy of the Trust Deed or equivalent and any subsequent deeds of amendment, appointment or retirement of trustees / protectors
- Authorised Signatory List
- ID and address verification for the any individuals named on the application form
- Evidence that the individuals acting for the charity have appropriate authority.

Corporates and Partnerships

- Names of all Directors / Partners
- Details of ownership, including percentage ownership
- Memorandum of Association or equivalent constitutional document

- Authorised Signatory List
- ID and address verification for minimum two Directors / Partners
- ID and address verification for any beneficial owners with a shareholding of 25% or more
- ID and address verification for any other individual(s) named in the application form
- A recent bank statement (issued within 3 months) for the corporate bank account.

Additional requirements if there is a Corporate Director:

- Names of all Directors
- ID and address verification for minimum two Directors
- ID and address verification of any other individual(s) named in the application form.

Additional requirements if entity is an investment vehicle:

- Evidence of source of wealth
- ID and address verification of all key individuals and controllers
- Evidence of source of funds.

Additional requirements if entity is an operating company:

- ID and address verification for all shareholders
- Latest audited accounts / financial statements
- Register of Directors
- Register of Shareholders
- Amount of investment
- Intended investment activity.

Enhanced due diligence will apply in higher risk scenarios (non-UK entities, newly incepted operating companies, complex ownership structure, etc) and additional information and / or documentation may be requested.