



STERLING

Confirmation of verification of identity certificate

This questionnaire must be completed by an FCA Regulated or EU Regulated Introducer

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

* Delete as applicable. Beneficial owners must also be identified if different from the applicants.

Please tick the standard evidence box if the case is a face to face sale to a UK resident, otherwise the exceeds standards box should be ticked and supporting documentation sent in.

Note this certificate must be signed by an officer of the introducer firm, who is authorised to confirm the accuracy and effectiveness of the firm's customer identification verification records, to which this certificate relates.

We cannot accept photocopies of completed certificates.

Name of applicant*/trustee*/third party*/ power of attorney (in full)

Title Forenames

Surname

Address

Postcode

Telephone number

Date of birth

Nationality

Account number to which this certificate relates:

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Previous address if moved in last three months

Postcode

I/We certify that:

(a) the information 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 one only)

meets the standard evidence set out within the guidance for the

UK Financial Sector issued by JMLSG; or

exceeds the standard evidence (written details of the further verification

evidence taken are attached to this confirmation).

(c) I/we have reviewed the application and declaration and, based on the knowledge gained about the customer, I/we have:

(tick one only)

no reason to believe the International Tax Compliance self-certification needs any follow up action;

or reason to believe the International Tax Compliance self-certification needs follow up action

If follow up action is recommended, please explain why:

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This certificate cannot be used to verify the identity of any customer that falls into one of the following categories:

- those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
- those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
- those whose identity has been verified using the 'Source of funds' as evidence.

If you have not verified the identity of the applicant please give reasons below:

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Adviser name, address and telephone number

Adviser code

Postcode

Financial Services Register number

Telephone no.

Name of person completing this certificate

Job title

Signature

Date