



STERLING

Confirmation of verification of identity certificate Corporate and other non-personal entity

To be completed by an FCA Regulated or EU Regulated Introducer

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

You may use this form for all situations where you verify the identity of a non-individual entity (e.g. Private and Public Corporations, Partnerships, Local Authorities, Trusts, Clubs, Societies, Religious Groups etc).

Relevant company registry includes Companies House, other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.

If the organisation is based outside the EU, please contact the Sterling Financial Crime Unit for details of requirements.

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.

Account number to which this certificate relates

1. Details of customer

Full name of customer

Type of entity
(corporate, trust, club, etc)

Registered number,
if any (or appropriate)

Relevant company registry or
regulated market listing authority

Location of business (full operating address)

Registered office (in country of incorporation)

Postcode

Postcode

Names of directors or equivalent

Names of principal beneficial owners (over 25%)

2. Confirmation

I/We confirm that:

- a) the information in section 1 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

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 customer please give reasons below:

Name of person completing this certificate

Signature

Position

Date

D

D

M

M

Y

Y

Y

Y

To be completed by an FCA Regulated or EU Regulated Introducer (continued)	
	3. Details of introducing firm (or sole trader)
	Full name of Regulated Firm (or sole trader)
	Financial Services Register number