

Please supply Company documents as outlined in the relevant section below. Where Identity or address verification is requested for individuals related to the account, please refer to the section titled Individual Identification Documents

Document Checklist for Corporate Applicants

When returning the account opening documentation, please ensure that you have enclosed the necessary documents as outlined below.

Where an original is not produced, a certified copy must be provided. Documents can be certified by an independent lawyer, bank, notary public or company secretary and must be contactable if necessary. (Please supply full contact details including name, address and telephone number.)

Private Limited Companies

- Customer Information Disclosure ("CID") - Corporate Customers, duly completed where applicable, dated and signed by the authorised signatories.
- For the authorised signatories to the CID and board resolution: One suitable form of personal identification verification from Box A on the ID section below.
- Certified extracts of a board resolution approving the Agreement (pro forma enclosed for your convenience).
- Original or certified copy of your Memorandum and Articles of Association and a Certificate of Incorporation or similar form of state incorporating document.
- A copy of your latest audited financial statements.
- If you are part of a group, a copy of the group's audited consolidated financial statements.
- Evidence of the signatories' authority to sign on behalf of the Company.
- Certified copy of appointment of directors.
- Original or certified Authorised signatory list.
- Where the parent company is the listed entity, evidence of ownership of the applicant.
- Original or certified copy of the Company share register.
- For beneficial owners with a 25% or more holding in the company: One form of Identification documents from section A below and one form of address verification from section B below

Public Listed Companies

- Customer Information Disclosure ("CID") - Corporate Customers, duly completed where applicable, dated and signed by the authorised signatories.
- For the authorised signatories to the CID and board resolution: One suitable form of personal identification verification from Box A on the ID section below.
- Certified extracts of a board resolution approving the Agreement (pro forma enclosed for your convenience).
- Original or certified copy of your Memorandum and Articles of Association and a Certificate of Incorporation or similar form of state incorporating document.
- A copy of your latest audited financial statements.
- If you are part of a group, a copy of the group's audited consolidated financial statements.
- Evidence of the signatories' authority to sign on behalf of the Company.
- Certified copy of appointment of directors.
- Original or certified Authorised signatory list.

Where an attorney has been granted to a third party

- Our Limited Power of Attorney form (enclosed in this pack), completed, dated and signed by the authorised signatories.
- One form of Identification documents from section A below and one form of address verification from section B below.
- If POA is granted to a corporate legal entity, please supply documents referred to in the list for Private Limited Companies excluding CID form and Board resolution.

Document Checklist for Fund Applicants

When returning the account opening documentation, please ensure that you have enclosed the necessary documents as outlined below.

Where an original is not produced, a certified copy must be provided. Documents can be certified by an independent lawyer, bank, notary public or company secretary and must be contactable if necessary. (Please supply full contact details including name, address and telephone number.)

- Customer Information Disclosure ("CID") - Corporate Customers, duly completed where applicable, dated and signed by the authorised signatories.
- For the authorised signatories to the CID and board resolution: One suitable form of personal identification verification from Box A on the ID section below.
- Certified extracts of a board resolution approving the Agreement (pro forma enclosed for your convenience).
- Original or certified copy of your Memorandum and Articles of Association and a Certificate of Incorporation or similar form of state incorporating document.
- Original or certified Authorised signatory list.
- Net asset value statement.
- Prospectus/offering memorandum.
- A list of all investors (including feeder funds) with a holding of 25% or more in the fund ("relevant investors"), or evidence that there are no relevant investors.
- Feeder fund prospectuses/offering memoranda (for each feeder fund that is a relevant investor).
- Certified copy of appointment of directors.
- Certified copy of fully executed Investment Management Agreement.

Additional requirement for Unregulated¹ Funds

- In relation to each investment manager, other investment advisor, relevant investor and ultimate controller who is an individual: One form of Identification documents from section A below and one form of address verification from section B below.
- In relation to other investment advisors, relevant investors (except feeder funds - in relation to feeder funds see below) or ultimate controllers who are corporate entities:
 - Certificate of incorporation.
 - Memorandum and articles of association.
 - The last available audited accounts.
 - List of directors.
 - List of authorised signatories.
 - An appropriate identity document from section A below for each authorised signatory (only applicable in relation to companies not regulated by the FSA).
 - An appropriate identity document from section A below and one form of address verification from section B below add for shareholders who individually own 25% or more of the company's shares.
- In relation to each feeder fund that is a relevant investor, please provide the items listed in the first section of this page (excluding CID).
- In relation to all other feeder funds, please provide prospectuses/memoranda.

¹ Unregulated funds are funds that are not regulated in the UK or a "comparable jurisdiction". A list of comparable jurisdictions can be found on the Joint Money Laundering Steering Group website www.jmlsg.org.uk

Document Checklist for Trusts and SIPPS

When returning the account opening documentation, please ensure that you have enclosed the necessary documents as outlined below.

Where an original is not produced, a certified copy must be provided. Documents can be certified by an independent lawyer, bank, notary public or company secretary and must be contactable if necessary. (Please supply full contact details including name, address and telephone number.)

- Customer Information Disclosure (“CID”) - Corporate Customers, duly completed where applicable, dated and signed by the authorised signatories.
- For the authorised signatories to the CID and board resolution: One suitable form of personal identification verification from Box A on the ID section below.
- Certified extracts of a board resolution approving the Agreement (pro forma enclosed for your convenience).
- Original or certified copy of your Memorandum and Articles of Association and a Certificate of Incorporation or similar form of state incorporating document.
- A copy of your latest audited financial statements.
- If you are part of a group, a copy of the group’s audited consolidated financial statements.
- Evidence of the signatories’ authority to sign on behalf of the Company.
- Certified copy of appointment of directors.
- Original or certified Authorised signatory list.
- Sub-Trust Deeds.
- Trust Deed (and any amendments).
- Document evidencing address of establishment/Address of corporate trustee.
- Document evidencing address of place of business.
- List of Trustees.
- List of protectors/controllers (if applicable).
- For each protector/controller: One form of Identification documents from section A below and one form of address verification from section B below.

Where an attorney has been granted to a third party

- Our Limited Power of Attorney form (enclosed in this pack), completed, dated and signed by the authorised signatories.
- One form of Identification documents from section A below and one form of address verification from section B below.
- If POA is granted to a corporate legal entity, please supply documents referred to in the list for Private Limited Companies excluding CID form and Board resolution.

Individual Identification Documents

Please supply at least one form of the relevant verification documents as described in the checklist above. We reserve the right to ask for additional documentation we consider necessary to comply with anti-money laundering regulations.

UK residents (Including non-UK Nationals living in the UK)

Please note these documents should be certified by a UK lawyer, banker, authorised financial intermediary, MCCB regulated mortgage broker, accountant, teacher, doctor or minister of religion. The person undertaking the certification must be capable of being contacted if necessary. *(Please provide contact details, including name, address & tel no.)*

Box A – Identity Verification	Box B – Address Verification
<ul style="list-style-type: none"> <input type="checkbox"/> Current passport showing a clear picture and your standard signature. <input type="checkbox"/> Current UK driving licence or international driving permit showing a clear picture and your standard signature. (Old style provisional driving licences will not be accepted.) <input type="checkbox"/> Other official identification card showing a clear picture and your standard signature (e.g. armed forces). <input type="checkbox"/> Firearms certificate showing a clear picture and your standard signature. 	<ul style="list-style-type: none"> <input type="checkbox"/> Building society, bank account statement or passbook received within the last 3 months and sent to your residential address (e.g. mortgage, savings or current account statement). (Credit card statements are not acceptable.) <input type="checkbox"/> Utility bill (e.g. water, gas, electricity) or certificate from a supplier of utilities confirming prepayment arrangements received within the last 3 months and sent to your residential address. (Mobile phone bills are not acceptable.) <input type="checkbox"/> Demand or correspondence from tax authorities (including local tax authority) received within the last 3 months and sent to your residential address (e.g. council tax).

Non-UK residents (Including UK Nationals living outside the UK)

Please note these documents should be certified by a lawyer, an embassy, consulate or high commission of the country of issue or by a senior official (eg branch manager) of the bank or other authorised financial institution where you have your account. The person undertaking the certification must be capable of being contacted if necessary. *(Please provide contact details, including name, address & tel no.)*

Box A – Identity Verification	Box B – Address Verification
<ul style="list-style-type: none"> <input type="checkbox"/> Current passport showing a clear picture and your standard signature. <input type="checkbox"/> Current UK driving licence or international driving permit showing a clear picture and your standard signature. (Old style provisional driving licences will not be accepted.) <input type="checkbox"/> Official national identity card showing a clear picture and your standard signature. 	<ul style="list-style-type: none"> <input type="checkbox"/> Confirmation from your lawyer, bank or other authorised financial institution of your name and residential address, dated within the last 3 months. <input type="checkbox"/> Utility bill (e.g. water, gas, electricity) or certificate from a supplier of utilities confirming prepayment arrangements received within the last 3 months and sent to your residential address. (Mobile phone bills are not acceptable.) <input type="checkbox"/> Confirmation from any embassy, consulate or high commission of your country of citizenship and your name and address.