## Due Diligence Guide Entity

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# The trusted investor onboarding hub

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## **Due Diligence**

To navigate to the **Due Diligence** section, you need to firstly select the passport that you wish to enter and then secondly click on the **Due Diligence** button.

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Your Profiles	Know Your Clier	t (KYC)			
filter by name Q			nti		
Example Individual	Due Diligence	Owners and	Documents		
Joe Smithson		Controllers			
Model Farm Fund 1	Complete this >	tetsbegin 🗲	Complete this 3		
Test Guide	FATCA/CRS (Ta)	Reporting)	elody van Eeden imelody vaneeden@idigro	up cont) is signed in	
Test Guide 2	-			-	
Test Guide Entity					
New Profile	Classification	Registration	Investigation	Reporting	
	Complete )	tetsbegin )	complete >	Complete 3	

You will be taken directly to the **Due Diligence** section. This section is comprised of your basic details, several Yes/No questions along with some free text answer boxes.



An important thing to note is when you input your answers, you can save at any time by pressing the purple tick in the far-right corner, like in the image below.





#### **Basic Details**

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uli Legal Name 😡	
Test Guide Entity	
Neose enter your full Legisl Nome	
Yevious Names	
Nease enter Previous normes	
rading Name	
Test Guide Entity	
Trading Name	
Vas No	
Nebšite	
bate of Incorporation	
Country of Incorporation	
Unknown	$\sim$
ncorporation No	
leporting Currency	
G8P - Pound Starling	$\sim$

#### In the Basic Details section:

- Enter the full legal name of the entity as it is stated in the incorporation documents.
- If the entity has had a change of name enter the previous name, and upload and digitally certify the Name Change document in the Evidence section on the documents tab.
- Indicate if the trading name is different to the full legal name.
- Select either Yes or No to advise if the entity is regulated or not.
  - If you select Yes, two additional questions will appear.

### - Please select the **Regulator** from the drop down by selecting the arrow on the right.

- Please provide the Regulator ID
- Provide a link to the company website.
- Insert the date of incorporation as it is a mandatory field.
- Select the country of incorporation from the drop down.
- Add the incorporation number.
- Select the reporting currency from the drop-down options.

#### Tax Residences

-

Regulatory ID

In the Tax Residences Section:

 Please insert the tax residence information and enter a valid Tax ID. Please enter all tax residences, you can do this by clicking on Add:

-	
IDR	

Tax Residences Add			
Country	Taxable Status	Taxable ID	
Unknown	~	~	Delete
Employer Identification Number			
Please enter your Employer Identification N	lumber		

• Please add your **Employer identification number** if you have one.

#### Principal Activities

Principal Activities
If the entity is investing personal assets on behalf of others, please also explain the rationale for the individual(s) not investing directly.

 Please provide a comprehensive description of the Principal Activities of the entity. Describe for example what the entity does, how long it has been doing it, in what areas. If the entity is investing personal assets on behalf of others, please also explain the rationale for the individual(s) not investing directly.

#### Your Environment and Counterparties

Your Environment and Counterparties			
Where are you most economically active?	Unknown		$\sim$
Are you investing money or financial assets on behalf of a third party? Examples of this include but are not lim	ited to nominee/custodian/trust/intermediary arrangements	Yes	No
Have you granted a Power of Attorney to act on your behalf? $igoplus$		Yes	No
Have you issued or do you have the capacity to issue bearer shares?		Yes	No
Are you or an affiliate undertaking any activities in a sanctioned jurisdiction? 🛈		Yes	No
Are you, or your affiliates associated with or engaged in political activity, public policy, the judiciary or military,	civil service or a government corporation at a senior level?	Yes	No
Do you undertake sensitive activities? 🕡		Yes	No

- All questions require an answer.
- Where are you most economically active? this requires you to type in the jurisdiction of where the entity is most economically active.
- If you are investing money on behalf of a third party, select yes and then please create and complete a profile for the individual/entity you are investing on behalf of. A pop up will appear with the following when you select yes:

Are you investing money or financial assets on behalf of a third party? Examples of this include but are not lim	ited to nominee/custodian/trust/intermediary arrangements	Yes	No
Where investing on behalf of a third party, a separate passport with appropriate documentation will be required for this party	Search my connections_		



Insert the name of the person/entity that you will be investing on behalf of in the section highlighted. If you have searched and the profile does not exist, you will need to create a profile for the abovementioned person/entity. To do this you need to:

 $\circ$   $\,$  Scroll to the top and click the Welcome icon on the top left.

V	Velcome

• It will take you back to the landing page where you need to scroll to the bottom of the page to where it says **Profile Connections** on the bottom left side.

0	Profile Connections	2	<
Se	inch or connect to possports		
No p	isports connected		

Type in the name of the person you wish to add and select Create Passport or you can invite them by selecting Send Invitation. Send Invitation will mean that the person added will need to create their own profile, however if you select Create Passport you can create one for them.

0 Profile Connections		ß	<
Harry Windsor			
Send Invitation	No connected passports found	Create Passpo	rt •

If you selected Send Invitation you will receive this pop-up window where you will need to input all the relevant details of the individual, once you have done that select Send Invitation. The person will then receive an invitation to create their profile.

Send Invitation		×
Name of Invitee		
Email of Invitee		
Name of Entity	Harry Windsor	
This passport will be connected to me as a(n)		~
CC me		
Request Universal Subscription Questionnaire		
	-	
	Cancel	Send Invitation

• If you selected **Create Passport** you will need to select the capacity in which they will be connected from the drop-down list that will appear.



Create Passport -
Administered Entity
Administrator
Advised Entity
Advisor
Authorised Signatory
Bank Account Holder
Bank Account Provider
Beneficial Owner or Investor
Beneficiary of Trust
Borrower
Client
Collective Investment Fund
Controlled Entity
Controlled Investment Vehicle
Counterparty - Receiving KYC
Customer - Providing KYC
Director or Controller
DUMMY Investment 1
DUMMY Investment 2
DUMMY Investor 1
DUMMY Investor 2
Employee
Employer
FATCA Sponsor
FATCA Sponsored Entity
Feeder Fund
Fund Carry Vehicle

• Once you have made your selection a pop up will appear where you will fill in all the relevant information and thereafter select **Create Profile** 

New Person or Legal Entity		
Passport Details		
Entity Type	v	
Legal Name		<b>AR</b>
Description / Bio		
Primary Contact Email		
Allow others to connect to me 0		
Registered or Residential Address Keep Address Private		
Flags Suite of PO her		
Street		
City		
State or Region		
Postol or ZIP Code		
Country	v	
		My Possports Create Profile

 You will automatically be taken to the new profile where you will fill in all the relevant information for that person or entity. It will require the same steps that you have gone through for your profile.





• You will automatically be listed as a user for this profile, and it will now also appear on your home screen when you press the **Home** button



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← → C app.theidregister.com/entities#/		
🔓 Grnall 🐰 Maps 🍇 Translate 🥎 People 🦚 The ID Register - H 🛅 Login   The ID Regis 🔿 My De	iboard   Ac 👩 Helpdesk: The ID R 🦚 TIDR Management 🛃 Send	isi 📭 Nommer - Inbox 🚯 https://heidingsiste 🥥 Summary - Overview 😁 Documents
IDR		Search Passports Q 🗍 👘 🥐 🔔 🛞
Home		
	Your Profiles	
	Filter by name Q	
Joe Smithson	•	
Model Farm Fund	•	
Test Guide		
Test Guide 2	•	
Test Guide Entity	÷	-
	New Profile	

- If you have granted a power of attorney please create and complete a profile for the individual or entity you have granted power of attorney to. This will be done in the same manner as above for creating a connection. Please also ensure you upload a copy of the POA in the Documents section.
- Have you issued or do you have the capacity to issue bearer shares a bearer share is an equity security that is owned by the person who physically holds the stock certificate as opposed to registered stock ownership.
- Are you undertaking any activities in a sanctioned jurisdiction This question is asking if you are you living or conducting any business in countries sanctioned by the EU, UN or OFAC. You can find lists of these countries at the following websites : <u>https://www.sanctionsmap.eu/#/main & https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx</u>
   If you have selected yes, a pop up will appear for you to provide an explanation:

Please explain

• For the question - **Do you undertake sensitive activities?** This will include but is not limited to:



#### Any activity linking to:

- Military goods, equipment, technology and/or personnel
- Cash intensive businesses such as: restaurants; convenience stores, petrol/gas stations; vending machines or beauty salons
- Conduct of scientific research
- Dealing in virtual currencies
- Gambling, betting or casino businesses
- Involvement in mining, drilling, or quarrying for natural resources.
- Involvement with goods that have a dual use for sanctioned activities
- Making or marketing pharmaceutical goods or devices
- Trading activities that require payment in advance
- and where there is no consumer protection

  Vulture funds
- Other Sensitive Activities

#### You will also need to provide an explanation for your selection:

Please explain

#### What is the source of your wealth?

Source of Wealth is how you have generated your total wealth.

Source of Funds is related to the origin of the funds for this investment.

What is the source of your wealth? $ {igodoldsymbol {\mathbb Q}} $		
Source of Wealth	None selected	~
What is the source of your funds? 🕠		
Source of Funds	None selected	~

#### Source of Wealth

• Please select an option from the drop down.

What is the source of your wealth? 🕠			
Source of Wealth	None selected	~	
What is the source of your funds? 🕕	Toggle All		*
Source of Funds 🛞	× Business profits		
	× Charitable donations, endowment and/or investment trading profits		
Review Status - Incomplete	× Endowment		
	× From Beneficial Owners		
	× From settlor		
	× Income Savings		
	× Inheritance		
	× Investment Trading Profits		
	× Limited Partner Contributions		
	× Other		
10001)	× Pension contributions		s
	× Profits From Company Shares		2
	× Sale of Investments		
	× Sale of Real Estate		
	× Sale of Shares		
	× Savings from Basic Salary		
			÷



 Once you have made your selection, please explain your choice in the yellow block that has appeared. Please provide a comprehensive answer, try to give some background and any relevant facts.

Source of Wealth	Business profits	Ť
	Please explain	
Source of Funds		
<ul> <li>Please select an option from the drop</li> </ul>	down.	

What is the source of your funds? 🕕		
Source of Funds 💿	None selected	*
	Toggle All	
Review Status - Incomplete	× Company profits	
	× Income-savings	
	<ul> <li>Solid of integration</li> </ul>	

 Once you have made your selection, please explain your choice in the yellow block that has appeared. Please provide a comprehensive answer, try to give some background and any relevant facts.

What is the source of your funds? 🕖		
Source of Funds 🔘	Other	~
	Please explain	