

Due Diligence Guide Entity

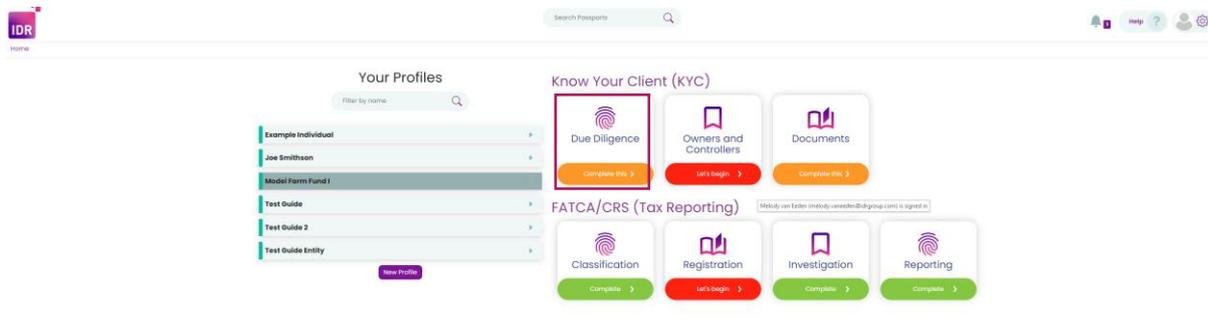
Date: 20 January 2023



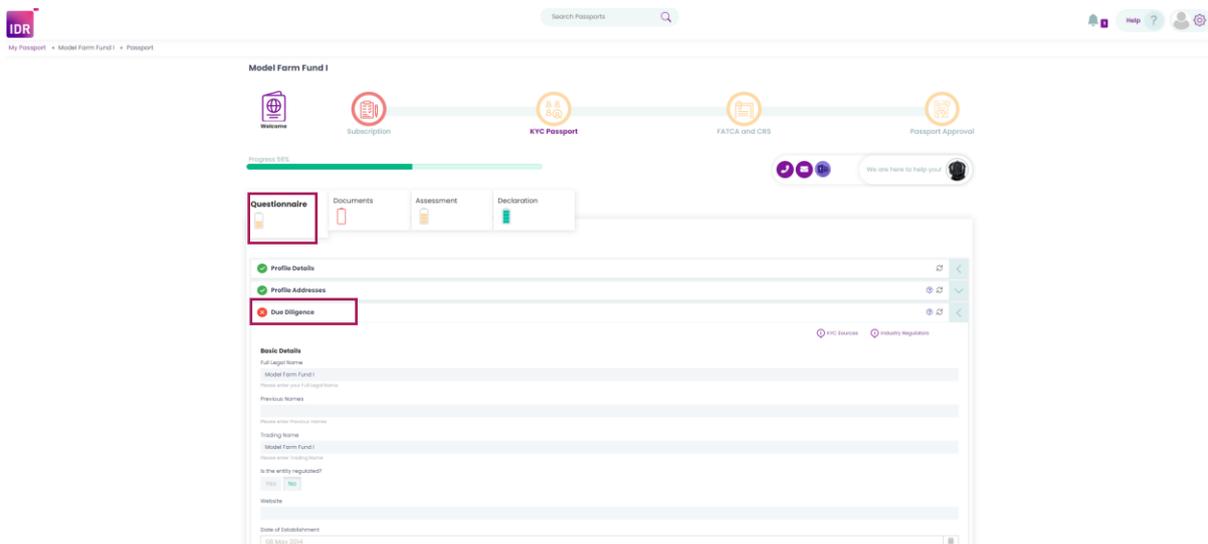
The trusted investor onboarding hub

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.



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

Basic Details

Full Legal Name 
 Test Guide Entity
 Please enter your Full Legal Name

Previous Names
 Please enter Previous names

Trading Name
 Test Guide Entity
 Please enter Trading Name

Is the entity regulated?
 Yes No

Website

Date of Incorporation

Country of Incorporation
 Unknown 

Incorporation No

Reporting Currency
 GBP - Pound Sterling 

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.

Regulator

Regulatory ID

- 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

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**:

Tax Residences Add

Country: Taxable Status: Taxable ID: Delete

Employer Identification Number

Please enter your Employer Identification Number

- ◆ 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?

Are you investing money or financial assets on behalf of a third party? Examples of this include but are not limited to nominee/custodian/trust/intermediary arrangements Yes No

Have you granted a Power of Attorney to act on your behalf? 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 limited 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:

- Scroll to the top and click the **Welcome** icon on the top left.



- 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.



- 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.



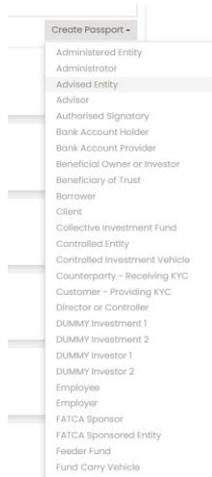
- If you selected **Send Invitation** you will receive this pop-up window where you will need to input all the relevant details of the individual, once you have done that select **Send Invitation**. The person will then receive an invitation to create their profile.

Send Invitation ✕

Name of Invitee	<input type="text"/>
Email of Invitee	<input type="text"/>
Name of Entity	<input type="text" value="Harry Windsor"/>
This passport will be connected to me as a(n)	<input type="text"/>
CC me	<input checked="" type="checkbox"/>
Request Universal Subscription Questionnaire	<input type="checkbox"/>

Cancel Send Invitation

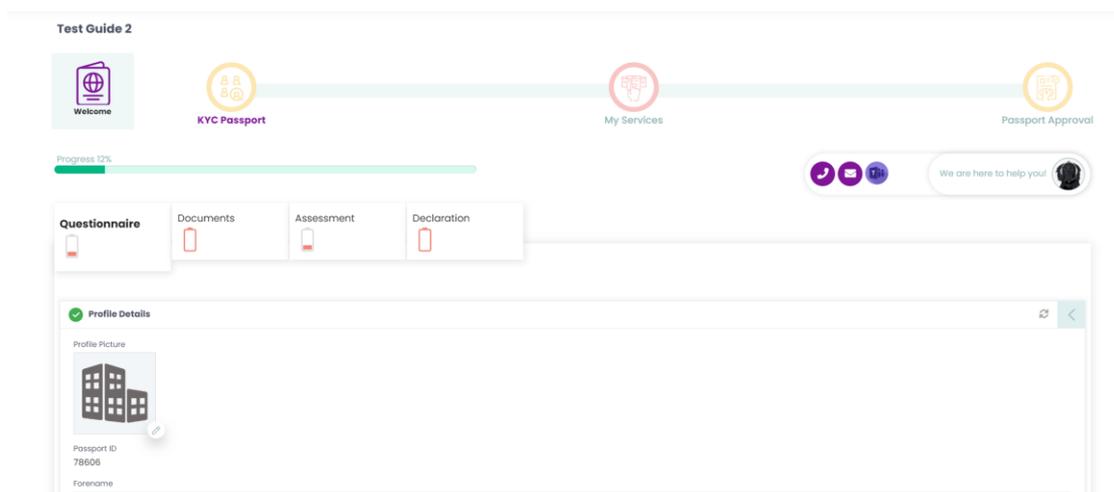
- If you selected **Create Passport** you will need to select the capacity in which they will be connected from the drop-down list that will appear.



- 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**



- 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.



Test Guide 2

Welcome KYC Passport My Services Passport Approval

Progress 12%

Questionnaire Documents Assessment Declaration

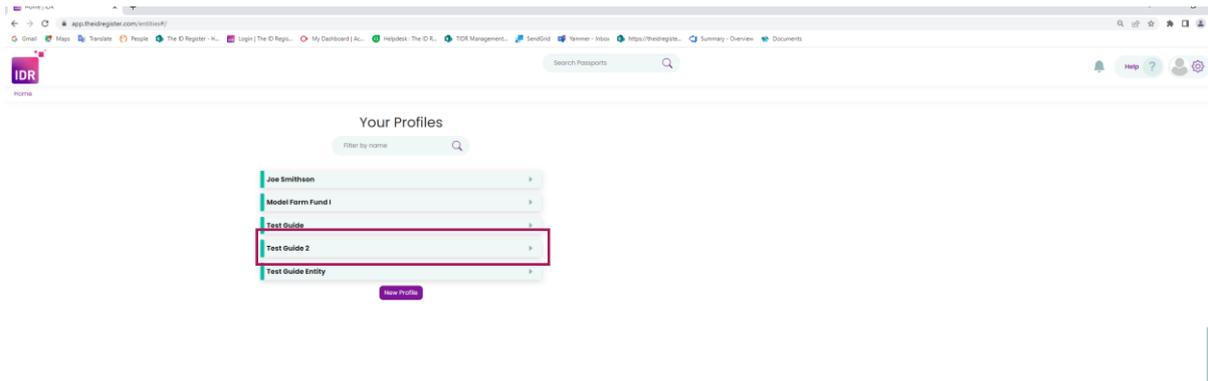
Profile Details

Profile Picture

Passport ID
78606

Forename

- 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



- ◆ 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 : <https://www.sanctionsmap.eu/#/main> & <https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx>
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? ⓘ

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 ⓘ

What is the source of your funds? ⓘ

Source of Funds ⓘ

Review Status - Incomplete

2581)

None selected

Toggle All

- Business profits
- Charitable donations, endowment and/or investment trading profits
- Endowment
- From Beneficial Owners
- From settlor
- Income Savings
- Inheritance
- Investment Trading Profits
- Limited Partner Contributions
- Other
- Pension contributions
- Profits From Company Shares
- Sale of Investments
- Sale of Real Estate
- Sale of Shores
- 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

Please explain

Source of Funds

- ◆ Please select an option from the drop down.

What is the source of your funds? ⓘ

Source of Funds ⓘ

Review Status - Incomplete

None selected

Toggle All

- ✗ Company profits
- ✗ Income-savings
- ✗ Inheritance
- ✗ Other
- ✗ Sale of Investments

- ◆ 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