



**Pro forma – Due Diligence Requirements for Companies**

**Please submit one copy of the pro forma for each policy holder along with the documentation requested.**

<b>Policy Number:</b>
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**General Information about the Company**

Company Name and any Trading names.	
Registered Office Address.	
Date of Incorporation (dd/mm/yyyy) and Registered number.	
Country of Incorporation.	
Principal place of business.	
Mailing Address if different.	
Nature of the company's business.	
Names (including previous names & aliases), addresses and nationalities of all shareholders owning 25% or more of the share capital of the company.  (Continue on a separate sheet if required)	
Names (including previous names & aliases, addresses and nationalities of all directors of the company.  (Continue on a separate sheet if required)	

**Pro forma – Due Diligence Requirements for Companies (continued)**

**Certified Company documents required (see Notes on page 4).**

Please tick the box below to indicate that the document has been supplied.

<b>Certificate of Incorporation.</b>	
<b>Memorandum and Articles of Association.</b>	
<b>Copy of a utility bill or bank statement to verify the company’s address (Mobile phone bills or internet bank statements cannot be accepted).</b>	
<b>Original or certified copy of an up to date authorised signatory list including specimen signature.</b>	
<b>Certified copy of board resolution or similar confirming appointment of authorised signatories.</b>	
<b>Copy of company structure chart to identify the underlying individuals who have control over the company – only required if company is made up of sub-companies and/or multiple individuals.</b>	
<b>Confirmation that the company is not in the process of being dissolved, struck off, wound up or terminated.</b>	



**Pro forma** – Due Diligence Requirements for Directors, Ultimate Beneficiary(s) and Shareholders.

<b>Policy Number:</b>
<b>Name:</b>
<b>Previous Names/Aliases:</b>
<b>Role (delete as appropriate): Director, Shareholder, Settlor, Ultimate Beneficial Owner.</b>
<b>Please confirm all Nationalities/Citizenships held:</b>

**Individual name and address verification is required for all shareholders listed on page 1 plus two of the named directors and the ultimate beneficial owner(s) if different to immediate shareholder.**

**Please provide one copy of the pro forma for each Director and/or Shareholder and Ultimate Beneficial Owner along with the documentation requested.**

- 1) **Acceptable documents for verification of the Individual’s name**  
One document per individual to be certified.  
Please note original documents will not be accepted.

<b>Name Document</b>	<b>Please Tick Appropriate Evidence Provided</b>
Current Passport (this must include current signature)	
Current National Identity Card (carrying a current photograph & signature). <i>Please note a Driving license is NOT a national identity card.</i>	

- 2) **Acceptable documents for verification of the Individual’s address**  
We require one verification of address document per person. Please provide either original or certified documents which show each person’s name and **their current physical residential address**. One document can be provided as evidence for several individuals if they are all named on the document.

<b>Address Document</b>	<b>Please Tick Appropriate Evidence Provided</b>
Domestic Bill – Gas, Electricity, Water, Rates or Landline <i>but not mobile telephone bill / or Internet bill</i>	
Bank statement (but not internet bank statement)	
Certified copy of a Photographic driving licence issued by an EU country – Please do not send original document.	

**Note:** - If a monthly issued document such as a utility bill or bank statement it must be dated within the last 3 months. If it is a document which is issued quarterly or annually it must be the most recently issued document.

**See Notes on page 4** for detailed requirements concerning certification of your documents.

**Notes:**

1. The individual certifying the documents supplied must be either:-

- A Solicitor, Lawyer, Advocate or Legal Attorney
- Notary public
- A regulated Chartered Accountant within the United Kingdom, EU, Isle of Man, Guernsey, or Jersey only
- A Financial Adviser regulated in the United Kingdom, EU, Isle of Man, Guernsey, or Jersey.

2. The person who is certifying the documents must **sign and date** each page of each document and include a statement to the effect that it is a true copy of the original.

Where this document includes a photograph, the person who is certifying the documents must also include a statement to the effect that **the photograph bears a true likeness to the individual they have met and for whom this certification has been provided.**

3. The person certifying the documents must also include the following:-

- Full Name (printed)
- Their Address
- Telephone Contact Number
- Occupation and or Profession.

4. An English translation must be provided and also duly certified if the original documents are not in English.

5. If the document is sent to a PO Box address, it is only acceptable if it makes reference to the person(s) physical address somewhere on the document.

6. The certification must be done within the last 3 months.