



Pro forma – Due Diligence Requirements for Companies

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

Policy Number:

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 10% 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.

Certificate of Incorporation.	
Memorandum and Articles of Association.	
Copy of a utility bill or bank statement to verify the company’s address (Mobile phone bills or internet bank statements cannot be accepted).	
Original or certified copy of an up to date authorised signatory list including specimen signature.	
Certified copy of board resolution or similar confirming appointment of authorised signatories.	
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.	
Confirmation that the company is not in the process of being dissolved, struck off, wound up or terminated.	



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

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

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.

Name Document	Please Tick Appropriate Evidence Provided
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.

Address Document	Please Tick Appropriate Evidence Provided
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.