

## INVESTOR VERIFICATION FORM (ACCOUNT OPENING)

This form is in relation to:

Full Sub-Fund Name: \_\_\_\_\_

Investor Name: \_\_\_\_\_

The purpose of this form is to gain a better understanding on the intent of the investment being made and the type of client subscribing within any of the funds under the administration of CC Fund Services (Malta) Limited. Kindly select the applicable section(s) and provide the Administrator with **all** the listed due diligence documents accordingly.

- Individual
- Nominee
- Designated Body (acting as principal)
- Listed and Regulated Corporate Entity
- Regulated Corporate Entity (investing on its own behalf)
- Unregulated Corporate Entity (investing on its own behalf)
- Investment Vehicle
- Partnership
- Trust
- Foundation
- Association
- Agent/Intermediary acting on behalf of the Investor

*(In the case that an agent is involved, please tick the applicable section which represents the investor's capacity as well)*

Kindly complete the below if the client is subscribing in the capacity of an **individual**.

*Please describe your educational background and professional experience.*

*Please advise the total expected amount to be invested in the SICAV.*

Kindly complete the below if the client is subscribing in **any capacity except for individuals and nominees**.

*What is the nature of business/business activities of the legal entity?*

*What are the main products/services?*

*Please advise the total expected amount to be invested in the SICAV.*

## **Individual**

- i. Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality;
- ii. Certified true copy of a residential and permanent address document dated within the last 6 months;
- iii. Certified true copy of a bank statement confirming the bank details from which the subscription monies will be wired and to which redemption funds should be sent dated within the last 6 months;
- iv. Certified copy of the Tax ID Number (if applicable);
- v. Self-Certification Form (for CRS purposes);
- vi. W-8BEN Form (for FATCA purposes);
- vii. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

## **Nominee**

- i. AML letter dated within the last 6 months, provided on the company's letterhead, addressed to CC Fund Services (Malta) Limited and signed by the compliance department in wet ink;
- ii. AML Wolfsberg Questionnaire;
- iii. Certified copy of License to act as Nominee;
- iv. Confirmation that CDD information and documentation on the underlying customers will be made immediately available to the Scheme upon request
- v. Proof of regulation from the regulator's website;
- vi. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- vii. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- viii. Certified true copy of a Company Structure Chart and Company Organogram;
- ix. A brief explanation of the entity's activities;
- x. Self-Certification Form (for CRS purposes);
- xi. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- xii. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

## **Listed and Regulated Corporate Entity**

- i. If the company is investing for its own account:
  - Evidence of listing;
  - Proof of regulation from the regulator's website;
  - A signed declaration confirming that the investment is made for the company's own account and not on behalf of any other party;
  - Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
  - Latest Audited Financial Statements;
  - Certified true copy of a Company Structure Chart and a Company Organogram;
  - A brief explanation of the entity's activities;
  - Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
  - Self-Certification Form (for CRS purposes);
  - W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
  - PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself;
- ii. If the company is investing in the capacity of a nominee:
  - Please provide us with the documentation as listed in the *Nominee* section;
- iii. If the company is an investment vehicle:
  - Please provide us with the documentation as listed in the *Investment Vehicle* section.

## **Corporate Entity (investing on behalf of its own account)**

- i. Certified true copy of the Certificate of Incorporation;
- ii. Certified true copy of the Memorandum & Articles;
- iii. Certified true copy of the Certificate of Good Standing dated within the last 3 months (in the case of regulated entities);
- iv. Certified true copy of the List of Shareholders and Directors dated within the last 6 months;
- v. Certified true copy of a Company Structure Chart and a Company Organogram;
- vi. A brief explanation of the entity's activities
- vii. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- viii. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- ix. A signed declaration confirming that the investment is made for the company's own account and not on behalf of any other party;
- x. A signed board resolution authorising the investment and conferring authority on those giving instructions;
- xi. A certified true copy of the company structure chart outlining the ownership percentages, the UBOs, who exercises control on a day-to-day basis and signed by one of the Directors;
- xii. Certified true copy of the latest audited financial statements, annual returns and/or tax returns;
- xiii. Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality for the following individuals:
  - Any natural persons who execute control on a daily basis such as the Directors;
  - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
- xiv. Certified true copy of a residential and permanent address document dated within the last 6 months for the following individuals:
  - Any natural persons who execute control on a daily basis such as the Directors;
  - Any natural persons holding 25% or more of shares, voting rights or ownership interest (directly or indirectly);
- xv. Self-Certification Form (for CRS purposes);
- xvi. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- xvii. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

## **Designated Body (acting as principal)**

A "Designated Body" in the context of the provided Subscription Application, is defined as a financial institution that is regulated by an appropriate regulator in an acceptable jurisdiction and meets certain regulatory standards regarding Anti Money Laundering procedures, in accordance with Irish, EU or FATF laws and regulations.

- i. Confirmation that the DB is a "Designated Body", to include confirmation of membership or association with appropriate regulatory body;
- ii. Proof of regulation from the regulator's website;
- iii. Confirmation that the DB is investing and is allowed to invest as principal for its own account;
- iv. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- v. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- vi. Structure chart of the DB as well as Company Organogram;
- vii. A brief explanation of the entity's activities
- viii. Self-Certification Form (for CRS purposes);
- ix. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- x. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

## Investment Vehicle

- i. Provide documents of the applicable category based on the legal structure of the investment vehicle, i.e. corporations, partnerships or trusts;
- ii. Certified true copy of the prospectus (offering document) or equivalent;
- iii. Certified true copy of the latest shareholder register confirming the ownership percentages;
- iv. Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality of each beneficial owner owning or controlling 25% or more of the investment vehicle;
- v. Certified true copy of a residential and permanent address document dated within the last 6 months of each beneficial owner owning or controlling 25% or more of the investment vehicle;
- vi. AML letter dated within the last 6 months, provided on the company's letterhead, addressed to CC Fund Services (Malta) Limited and signed by the compliance department in wet ink of the Transfer Agent;
- vii. AML Wolfsberg Questionnaire of the Transfer Agent;
- viii. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- ix. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- x. Self-Certification Form (for CRS purposes);
- xi. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- xii. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

## Agent

As a subject person, CC Fund Services (Malta) Limited is to ensure that the agent is duly authorised in writing to act for and on behalf of the customer. We also need to understand the rationale behind this arrangement and why the customer did not seek to establish the business relationship or carry out the occasional transaction directly.

In regards to due diligence documentation, the following is required when the agent is a legal entity:

- i. AML letter dated within the last 6 months, provided on the company's letterhead, addressed to CC Fund Services (Malta) Limited and signed by the compliance department in wet ink;
- ii. AML Wolfsberg Questionnaire;
- iii. Proof of regulation from the regulator's website;
- iv. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- v. Power of Attorney agreement (if applicable);
- vi. Certified true copy of the document confirming the authorisation granted by the customer to the agent.

In the case that the agent is not a legal entity, the following is required:

- i. Establish the agent's ownership and control structure;
- ii. Identify who the agent's beneficial owners are;
- iii. Identify and verify the identity of the legal entity's officers and/or employees providing instructions to the subject person; and
- iv. Certified true copy of the document confirming the authorisation granted by the customer to the agent.

## Partnership

- i. Certified true copy of the Certificate of Partnership/Business Registration;
- ii. Certified true copy of the most recent version of the partnership agreement or other constitutive document;
- iii. Certified true copy of the Certificate of Incorporation;
- iv. Certified true copy of the Certificate of Good Standing dated within the last 3 months;
- v. Certified written representation on the following information:
  - Full name of all partners and individuals who exercise control over the management of the partnership;
  - Full name of all partners who are empowered to give instructions (or the General Partner in the context of a limited partnership);
  - Number of individuals owning or controlling 25% or more of the partnership's capital/profit/voting rights;
  - Full name of individuals owning or controlling 25% or more of the partnership's capital/profit/voting rights;
- vi. Identification evidence of all the persons vested with the partnership's administration and representation;
- vii. Certified true copy of the mandate/deed/resolution from the partnership authorising the transactions and conferring authority on those who will undertake transactions;
- viii. A brief explanation of the entity's activities
- ix. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- x. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- xi. An explanation of the partnership's ownership and control structure;
- xii. In the case of multi-tier and complex structures, an ownership structure chart is to be provided detailed to the extent of determining who the beneficial owner is;
- xiii. Certified true copy of the latest audited financial statements, annual returns and/or tax returns;
- xiv. Certified true copy of the organisation's bank statements not older than 6 months;
- xv. Self-Certification Form (for CRS purposes);
- xvi. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- xvii. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.;
- xviii. If the partnership is an investment vehicle:
  - Extract from commercial register;
  - Please provide us with the documentation as listed in the Investment Vehicles section.
- xix. If the partnership is not an investment vehicle:
  - Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality of each beneficial owner controlling 25% or more of the partnership's capital/profit/voting rights;
  - Certified true copy of a residential and permanent address document dated within the last 6 months of each beneficial owner controlling 25% or more of the partnership's capital/profit/voting rights.

## Trust

- i. Certified true copy of the trust deed;
- ii. Certified true copy of the Certificate of Incorporation (or equivalent) of the trustee including the registration number (if applicable);
- iii. Certified true copy of the list of directors of the trustee dated within the last 6 months;
- iv. A description of the nature of the trust (e.g discretionary trust, testamentary trust, bare trust etc)
- v. Objective and Purpose of the Trust (e.g. wealth management, estate planning etc)
- vi. Extract of authorization from the relevant regulator confirming that the trustee is regulated in an approved country;
- vii. Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality of the Settlor, trustee(s), protector (where applicable), beneficiaries or class of persons whose main interest the trust is set up or operates, any other natural person exercising ultimate control over the trust by means of a direct or indirect ownership or by other means;
- viii. Certified true copy of a residential and permanent address document dated within the last 6 months for the persons listed in vii;
- ix. AML letter dated within the last 6 months, provided on the company's letterhead, addressed to CC Fund Services (Malta) Limited and signed by the compliance department in wet ink;
- x. Signed trustee resolution/confirmation authorizing the investment and conferring authority on those giving instructions;
- xi. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- xii. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- xiii. Self-Certification Form (for CRS purposes);
- xiv. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- xv. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself;
- xvi. If the trust is an investment vehicle:
  - Extract from commercial register;
  - Please provide us with the documentation as listed in the *Investment Vehicles* section.

## Foundation or Association

- i. Certified true copy of the Certificate of Registration;
- ii. Certified true copy of the most recent version of the constitutive document;
- iii. Certified true copy of the Certificate of Good Standing dated within the last 3 months;
- iv. Certified true copy of an Organogram showing in detail the parties involved in the Foundation or Association;
- v. License indicating that the entity is regulated;
- vi. Trust Agreement;
- vii. Confirmation if there is someone else who controls the goods belonging to the Foundation;
- viii. Confirmation if someone else has invested in the foundation other than the ultimate customer.
- ix. If the answer to viii above, is Yes kindly provide a certified true copy of:
  - a. Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality;
  - b. Certified true copy of a residential and permanent address document dated within the last 6 months;
  - c. Certified copy of the Tax ID Number (if applicable);
  - d. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.
- x. Certified written representation on the following information:
  - Full name of organization;
  - Business address;
  - Full name of all individuals who exercise ultimate control over the management of the organization;
  - Full name of all beneficial owners (if any) that own or control 25% or more of its capital/profit/voting rights;
- xi. Certified true copy of the proof of business/principle operating address (if it is not an investment vehicle);
- xii. Authorised signatory list showing the specimen signatures and the confirmation of the signatory powers;
- xiii. Confirmation of the bank details from which the subscription monies will be wired and to which redemption funds should be sent;
- xiv. An explanation of the organisation's ownership and control structure;
- xv. In the case of multi-tier and complex structures, an ownership structure chart is to be provided detailed to the extent of determining who the beneficial owner is;
- xvi. Certified true copy of the latest audited financial statements, annual returns and/or tax returns;
- xvii. Certified true copy of the organisation's bank statements not older than 6 months;
- xviii. Certified true copy of a valid government issued document which shows a photograph, full name, date of birth and nationality of the following individuals:
  - The founder;
  - The administrator or administrators;
  - The guardian, protector or members of the supervisory council, where applicable;
  - The beneficiaries or the class of beneficiaries, as may be applicable; and
  - Any other natural person exercising ultimate control over the foundation by means of direct or indirect ownership, or by any other means;
- xix. Self-Certification Form (for CRS purposes);
- xx. W-8BEN-E / W-8IMY Form (as applicable - for FATCA purposes);
- xxi. PEP, Source of Wealth & Source of Funds Declaration Form alongside the necessary back-up documentation as outlined within the form itself.

## **GENERAL NOTES**

In line with the latest FIAU Implementing Procedures, the following information has been compiled to assist the client in providing the respective documentation as required under Maltese regulations.

The below list outlines the proof of identity documentation accepted by the Administrator:

- i. A valid unexpired passport;
- ii. A valid unexpired national or other government-issued identity card;
- iii. A valid unexpired residence card; or
- iv. A valid unexpired driving license.

The below list outlines the proof of address documentation accepted by the Administrator:

- i. Correspondence from a central or local government authority, department or agency;
- ii. An official conduct certificate;
- iii. Any other government-issued document not mentioned above;
- iv. A recent statement or reference letter issued by a recognised credit institution or entity carrying out relevant financial business in Malta, or equivalent activities in a Member State of the EU or in a reputable jurisdiction;
- v. A recent utility bill; and
- vi. A lease contract or agreement.

Any documentation that is to be certified as a true copy of the original should be certified as per the below guidelines:

Certification of the documentation used for **verification of identity** should be evidenced by a written statement stating that:

- i. The document is a true copy of the original document;
- ii. The document has been seen and verified by the certifier; and
- iii. The photo is a true likeness of the document holder.

Certification of the documentation used for **verification of permanent and residential address** should be evidenced by a written statement stating that:

- i. The document is a true copy of the original document; and
- ii. The document has been seen and verified by the certifier.

The certifier must sign and date the copy document (indicating his name and surname clearly beneath the signature) and clearly indicate his profession, designation or capacity on it and provide his contact details (including the address).

The certification must be carried out within the previous six months by a legal professional, accountancy professional, a notary, etc. The Administrator must be able to verify the existence and professional capacity of the certifier through public registry (e.g. Accountancy Board, Bar Association, etc.). The certification should be done in English.



## **DECLARATION**

I/We the undersigned hereby declare that the information provided herewith is correct to the best of my/our knowledge.

I/We undertake to notify the Administrator of any changes made to the documentation provided.

I/We acknowledge the fact the CC Fund Services (Malta) Limited reserves the right to request any further documentation from time to time, as the Company may deem fit.

The Undersigned has executed this declaration as of the date set forth below.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Position (if any): \_\_\_\_\_

Date and Place of Execution: \_\_\_\_\_

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Position (if any): \_\_\_\_\_

Date and Place of Execution: \_\_\_\_\_

*Signing Instructions: All joint applicants must sign.*

*If the applicant is a corporation, an authorised officer(s) of that corporation must sign in compliance with its Charter or Memorandum and Articles of Association and, by signing this Declaration, the authorised officer(s) thereby confirm and warrant that the corporation is so empowered to invest in the Sub-Fund as mentioned previously and that, if required, the relevant corporate resolution has been passed and executed by the Board of Directors of the corporation.*

*If an agent or attorney signs on behalf of the person named as the Investor, a copy of the relevant power of attorney or other document appointing the agent or power of attorney must be attached and the agent/attorney hereby accepts full responsibility for the obligations undertaken by his principal in subscribing for Investor Shares on such principal's behalf. Due diligence documents with respect to an agent or attorney will be requested by the Company, which documents may vary on a case-by-case basis.*