

## Identification Requirements for Corporate (Fund) Account

**All documents must be legible, and be written preferably in English or at minimum in a language based on the Latin Alphabet for ease of translation. Any documents submitted in Aramaic (i.e. Arabic / Hebrew), Logographic (i.e. Chinese), Greek / Cyrillic (i.e. Russian) Alphabets or such other non-Latin Alphabets will either be rejected or will contribute severe delays to the account opening process if no other document has been provided instead.**

In accordance with Joint Money Laundering Steering Group (“JMLSG”) guidance, we can accept electronic copies or **certified colour scans** of the identification documents detailed in this document subject to the following specifications. **Please note any documents provided electronically which are not clear, in colour and certified in accordance with the below will not be accepted.** Alternatively, we can also accept copies of the original documents via post detailing an original certification signature but this will delay the completion of our account opening due diligence:

<b>Identity Document Requirements</b>	<b>Address Verification Document Requirements</b>
<i>Please ensure that your digital photograph or <b>colour scan</b> clearly displays the following:</i>	<i>Please ensure that your digital photograph or <b>colour scan</b> clearly displays the following:</i>
<ul style="list-style-type: none"> <li>• All 4 corners of the document (no cropping)</li> <li>• Your full name, date of birth, and current mailing address</li> <li>• All details on the page (no black/blurred portions)</li> <li>• ID number</li> <li>• Valid issue date (document cannot be expired)</li> <li>• Front and back of the ID card</li> <li>• The relevant certification per the Certified Document Checklist below</li> </ul>	<ul style="list-style-type: none"> <li>• All four corners of the document (no cropping)</li> <li>• Your full name, mailing address and date</li> <li>• Official company letterhead</li> <li>• Printed/mailed document (we do not accept online statements)</li> </ul>
<b>Certified Document Requirements</b>	<b>Certified Document Checklist</b>
<i>The following people can certify documents. Please note that we may contact the certifier or request additional documentary evidence from you.</i>	<i>(for the certifier)</i>
<ul style="list-style-type: none"> <li>• A member of the judiciary, councillor, a senior civil servant or a serving police or customs officer</li> <li>• A solicitor, lawyer or notary public</li> <li>• An actuary</li> <li>• A minister of religion</li> <li>• A doctor or dentist</li> <li>• A teacher or lecturer</li> <li>• In the UK, the Post Office</li> <li>• An accountant holding a recognised professional qualification (i.e. chartered or certified accountant)</li> <li>• A director, officer or a manager of a regulated financial services business operating in an equivalent jurisdiction (i.e. bank official)</li> <li>• An embassy, consulate or high commission of the country of issue of the documentary evidence of identity</li> </ul> <p>The certifier must be independent of the individual for whom the certification is being provided, cannot be living at the same address, and cannot be a family member or associated in any way with the account to be opened with us. The certified must provide their name, address, and proof of their capability to provide such certification (i.e. a stamp or other such mark).</p>	<ol style="list-style-type: none"> <li>1. Please take a photocopy of the document.</li> <li>2. Please write the following wording on the photocopy: <ul style="list-style-type: none"> <li><b>For identity verification</b></li> <li>“I certify that I have seen the original document and this is a complete and accurate copy and that the photograph is a true likeness of the person who presented it.”</li> <li><b>For address verification</b></li> <li>“I certify that I have seen the original document and this is a complete and accurate copy.”</li> </ul> </li> <li>3. Please add signature and date.</li> <li>4. Please print your name underneath in BLOCK CAPITALS.</li> <li>5. Please add your position of capacity e.g. accountant, business name and address.</li> <li>6. If you have an official stamp, please stamp the document.</li> </ol>

**Corporate Account - Fund**

<b>Proof of Registration</b>	<b>Proof of Residency</b>
<i>(For the corporate legal person)</i>	<i>(For the corporate legal person)</i>
<ul style="list-style-type: none"> <li><b>Certificate of Incorporation</b> (and which, unless public access to the company's register for relevant jurisdiction is available, must be certified in accordance with the Certified Document Requirements on the first page of this guide)</li> </ul>	<ul style="list-style-type: none"> <li><b>Utility Bill</b> (e.g. electricity, water, telephone, gas; the bill must be less than 3 months old and show the account holder's full name and address) Please note: Bills for cell phone service are not valid proof of residency.</li> <li><b>Other Company Document</b> (e.g. bank statement - must show the company's name and current address)</li> </ul>

<b>Proof of Authority</b>	<b>Incorporation Documents</b>
<i>(For EACH individual having the authority to execute the agreement or trade on behalf of the company)</i>	<i>(For the corporate legal person)</i>
<ul style="list-style-type: none"> <li><b>Board Resolution</b> (must grant the authority to the trader, those authorised to engage regarding the application and those signing the application to represent the company)</li> <li><b>Other Company Document</b> (which grants the necessary authority as above)</li> </ul>	<ul style="list-style-type: none"> <li><b>Memorandum of Association / Bylaws</b> (must grant the authority to the trader)</li> <li><b>Articles of Association / Bylaws</b> (to permit us to verify the total ownership rights of the members, must NOT convey that the company can issue shares in bearer form, otherwise further documentation will be required)</li> </ul>

<b>Proof of Status</b>	<b>Proof of Regulation</b>
<i>(For the corporate legal person)</i>	
<ul style="list-style-type: none"> <li><b>Notarized Extract From The U.K. Office Of The Registrar Of Companies</b> (i.e. the "Trade Register") (must be less than 3 months old)</li> <li><b>Comparable Document From The Company's Country Of Origin</b> (must be less than 3 months old)</li> <li><b>Financial Statements</b> (two years audited preferably, or backed up by three months bank statements if unaudited at the time of application)</li> </ul>	<ul style="list-style-type: none"> <li><b>Company's License Or Authorization To Conduct Financial Business</b> (if the company's regulated status is not indicated, please provide appropriate evidence)</li> </ul>

<b>Fund Documents</b>	<b>Proof of Ownership</b>
<i>(For the corporate legal person)</i>	<i>(For the corporate legal person)</i>
<ul style="list-style-type: none"> <li><b>Offering Memorandum</b></li> <li><b>Trading or Operating Agreement</b></li> <li><b>Fund Brochure</b> (if applicable)</li> <li><b>Net Asset Value Statement</b> (this must also be sent to navdata@rjobrien.com periodically for credit and risk purposes)</li> </ul>	<ul style="list-style-type: none"> <li><b>Share Register / Register of Members</b> (i.e. the list of shareholders, need not contain every shareholder but must disclose the identities of all members holding more than 10% interest in the company)</li> <li><b>Share Certificates</b> (as above)</li> </ul>

It is a requirement for us to connect the entity we face with all natural persons that are ultimate beneficial owners, therefore in the event that our customer is owned by multiple layers of legal persons we require due diligence from all connected parties until we can establish the identity of any of and all ultimate beneficial owners that are natural persons above the threshold.

**Requirements for Shareholders and Feeder Funds With Interest 10% or Over**

**Individual Shareholders**

<b>Proof of Identity</b>	<b>Proof of Residency</b>
<i>(please submit one for EACH qualifying ultimate beneficial owner)</i>	<i>(please submit one for EACH qualifying ultimate beneficial owner)</i>
<ul style="list-style-type: none"> <li><b>Passport</b> (must be certified, currently valid, signed by the account holder and clearly indicate the number, date of expiration, date of birth and country of issue; any visa stamped pages must be included)</li> <li><b>National ID Card</b> (must be certified, currently valid, signed by the account holder and clearly indicate the number, date of expiration, date of birth and country of issue)</li> </ul>	<ul style="list-style-type: none"> <li><b>Utility Bill</b> (e.g. electricity, water, telephone, gas; the bill must be less than 3 months old and show the account holder's full name and address) Please note: Bills for cell phone service are not valid proof of residency.</li> <li><b>Driver's License</b> (must be currently valid, signed by the account holder and clearly indicate the number, date of expiration, date of</li> </ul>

	<p>birth and country of issue)</p> <ul style="list-style-type: none"> <li>• <b>Bank Statement</b> (must be less than 3 months old and show the account holder's full name and address)</li> <li>• <b>EU-based: Certified Document</b> (must be another document e.g. rental/ lease, agreement, work permit etc, which show currently valid address, be less than 3 months old, and which is certified in accordance with the Certified Document Requirements on the first page of this guide)</li> <li>• <b>Non-EU based: Notarised Document</b> (must be another document e.g. rental/ lease, agreement, work permit etc, which show currently valid address and be less than 3 months old, and which is certified by an authorised notary public)</li> </ul>
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**Corporate Shareholders**

<b>Proof of Registration</b>	<b>Proof of Residency</b>
<i>(For the corporate legal person listed on the share register)</i>	<i>(For the corporate legal person listed on the share register)</i>
<ul style="list-style-type: none"> <li>• <b>Certificate of Incorporation</b> (and which, unless public access to the company's register for relevant jurisdiction is available, must be certified in accordance with the Certified Document Requirements on the first page of this guide)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Utility Bill</b> (e.g. electricity, water, telephone, gas; the bill must be less than 3 months old and show the account holder's full name and address) Please note: Bills for cell phone service are not valid proof of residency.</li> <li>• <b>Other Company Document</b> (e.g. bank statement - must show the company's name and current address)</li> </ul>

<b>Proof of Status</b>	<b>Incorporation Documents</b>
<i>(For the corporate legal person listed on the share register)</i>	<i>(For the corporate legal person listed on the share register)</i>
<ul style="list-style-type: none"> <li>• <b>Notarized Extract From The U.K. Office Of The Registrar Of Companies</b> (i.e. the "Trade Register") (must be less than 3 months old)</li> <li>• <b>Comparable Document From The Company's Country Of Origin</b> (must be less than 3 months old)</li> <li>• <b>Financial Statements</b> (two years audited preferably, or backed up by three months bank statements if unaudited at the time of application)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Memorandum of Association / Bylaws</b> (must grant the authority to the trader)</li> <li>• <b>Articles of Association / Bylaws</b> (to permit us to verify the total ownership rights of the members, must NOT convey that the company can issue shares in bearer form, otherwise further documentation will be required)</li> </ul>