

CUSTOMER DUE DILIGENCE QUESTIONNAIRE

客户尽职调查问卷

To comply with applicable anti-money laundering laws and regulatory requirements and the Fund's corresponding policies and procedures, please read the instructions and provide all such information and documentation as required by this document. 为了遵守适用的反洗钱法律和监管要求以及基金的相应政策和程序，请阅读说明并提供本文件要求的所有此类信息和文件。

Please note that:

请注意：

- (1) The Fund may request additional documentation as required by law or its internal policies.
本基金可根据法律或其内部政策要求提供额外文件。
- (2) Any deviation from the requirements will be subject to the approval of the Fund or its delegate at its sole discretion.
任何与要求的偏离都将由基金或其代表自行决定批准。
- (3) If a prospective investor delays in producing or fails to produce any information required, the Fund (or its delegate) may refuse to accept any application to subscribe. In such event, any funds received will be returned only to the source from which they came and without interest.
如果潜在投资者延迟提供或未能提供任何所需信息，本基金（或其代表）可拒绝接受任何认购申请。在这种情况下，任何已收资金将原路返回，且无利息。

In addition, please promptly notify the Fund (or its delegate) in writing of any changes from time to time to its business activities, directors, officers, shareholders, beneficial owners¹, partners, trustees, settlors, controllers or other documents, data or information provided during this due diligence process.

此外，如业务活动、董事、高级管理人员、股东、受益所有人¹、合伙人、受托人、托管人、控制人或在尽职调查过程中提供的其他文件、数据或信息发生任何变化，请立即以书面形式通知基金（或其代表）。

¹ Beneficial owners are defined in the Notes and Instructions Section.
受益所有人的定义见附注和说明部分。

Part 1 - Exempted Customers, Nominees, Agents or Eligible Introducers

第1部分 – 豁免客户、代名人、代理人或合格介绍人

1.1 If you belong to one of the categories below, please (1) “✓” in the appropriate box, (2) provide evidence of regulated/listed/governmental/registration status, (3) Powers of Attorney or other authority and specimen signatures of all individuals that are authorised to act on the customer’s behalf in relation to its investment, (4) documentations of authorized person (refer to section 2.1 for a and b), (5) provide ownership structure (only if you are a majority owned subsidiary as stated in Category a. to c.) and (6) go to 1.2. 如果您属于以下类别之一，请（1）在适当的方框中填写“✓”；（2）提供受监管/上市/政府/注册状态的证据；（3）授权书或其他所有被授权代表客户进行投资的个人的授权及签名样本；（4）被授权人的证明文件（参考第2.1条的a和b）；（5）提供所有权结构（仅当您是a至c类中所述的大多数股权子公司时），以及；（6）转到 1.2。

If no, please go to Part 2.

如果不是，请转到第 2 部分。

- | | |
|---|-----------------------------------|
| a. Is carrying out relevant financial business and is required to comply with anti-money laundering laws and regulations in the place of registration and main business operations ² , or is a majority owned subsidiary of such entity;
正在开展相关金融业务，并被要求遵守注册地和主营业务所在地的反洗钱法律法规，或者是该实体的多数股权子公司； | Yes <input type="checkbox"/>
是 |
| b. Subject to regulatory oversight (“Regulated Entity”) or is a majority owned subsidiary ³ of the Regulated Entity;
受监管机构监督（“受监管实体”）或为受监管实体的多数股权子公司； | Yes <input type="checkbox"/>
是 |
| c. Listed on a recognized stock exchange ⁴ (“Listed Entity”) or is a majority owned subsidiary ³ of the Listed Entity;
于认可证券交易所上市 ⁴ （“上市实体”）或为上市实体拥有的多数股权子公司 ³ ； | Yes <input type="checkbox"/>
是 |
| d. A central or local government organization, statutory body or agency of government (e.g., sovereign wealth fund); or
中央或地方政府组织、法定机构或政府机关（如主权财富基金）；或 | Yes <input type="checkbox"/>
是 |
| e. A pension fund for a professional association or trade union or is acting on behalf employees of an entity of the categories above.
专业协会或工会的养老基金，或代表上述类别实体的员工。 | Yes <input type="checkbox"/>
是 |

² The country or jurisdiction should be a member of FATF or FSRBs, the list of members can be found at: [Countries \(fatf-gafi.org\)](https://www.fatf-gafi.org/Countries).
国家或司法管辖区应为 FATF 或 FSRB 的成员，成员名单可在此查询：[Countries \(fatf-gafi.org\)](https://www.fatf-gafi.org/Countries)

³ A majority owned subsidiary is defined as a subsidiary being more than 50% owned by the subsidiary’s parent directly or indirectly.
多数股权子公司是指母公司直接或间接拥有其 50%以上股权的子公司。

⁴ The recognized stock exchange must be one that is either ① a US licensed exchange; ② an EU regulated exchange; ③ a Canadian licensed exchange; ④ a member or the member’s affiliate of the World Federation of Exchanges, the list of members and affiliates can be found at: [The World Federation of Exchanges](https://www.wfe.com/); ⑤ The Cayman Islands Stock Exchange; ⑥ any other stock exchange approved by the financial regulatory authorities in countries or jurisdictions of footnote 2.

公认的证券交易所必须是：①美国特许交易所；②受欧盟监管的交易所；③加拿大特许交易所；④作为世界交易所联合会的会员或会员的附属机构，会员和附属机构的名单可在此查询：[The World Federation of Exchanges](https://www.wfe.com/)；⑤开曼群岛证券交易所；⑥脚注 2 所述国家或司法管辖区的金融监管机构批准的任何其他证券交易所。

1.2 Please (1) “✓” in the appropriate box of the category you belong to, (2) if you are acting as a nominee or agent for a principal or if you are an Eligible Introducer⁵ introducing customers, provide the written assurance (see the AML/CFT Attestation Letter attached) and (3) go to 1.3.

请：（1）在您所属类别的适当方框中填写“✓”；（2）如果您是委托人的代名人或代理人，或者如果您是介绍客户的合格介绍人⁵，请提供书面保证（请参见随附的 AML/CFT 证明信），以及；（3）转到 1.3。

- | | |
|--|-----------------------------------|
| a. An exempted customer
获豁免客户 | Yes <input type="checkbox"/>
是 |
| b. A nominee or agent for a principal
委托人的代名人或代理人 | Yes <input type="checkbox"/>
是 |
| a. An Eligible Introducer ⁵
合格介绍人 | Yes <input type="checkbox"/>
是 |

1.3 Please select in the following question and go to Part 3.

请根据以下问题选择，然后转到第 3 部分。

<p>The jurisdiction: 司法辖区：</p> <p>(1) where the customer is subject to regulatory oversight (Category a. & b.); 客户受何地的监管监督（a类和b类）；</p> <p>(2) where the Listed Entity is listed (Category c.); or 上市实体于何地上市（c类）；或</p> <p>(3) where the customer's operation is based (Category d. & e.). 客户主要业务所在地位于何处（d类和e类）。</p>	
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Part 2 – Regular Customers

第2部分 – 常规客户

If none of the categories listed under 1.1 above applies to you, please (1) “✓” in the appropriate box of the categories below, (2) provide the documentation according to the checklist and (3) go to Part 3.

如果上述 1.1 中列出的类别均不适用，请：（1）在以下类别的适当方框中填写“✓”；（2）根据清单提供文件，以及；（3）转到第 3 部分。

- | | |
|--|-----------------------------------|
| 2.1 Individual Customers (i.e., natural persons):
个人客户（即自然人）： | Yes <input type="checkbox"/>
是 |
|--|-----------------------------------|

- Current valid passport, identification card or driving license that bears the photograph, the signature and the nationality, date of birth and place of birth information of the customer; and
载有客户照片、签名、国籍、出生日期和出生地信息的当前有效护照、身份证或驾照；和
- Utility bill, bank statement, reference letter that is issued by an independent party within the last 3 months and bears both the name and residential address of the customer.
由独立方在过去3个月内出具并注明客户姓名和居住地址的公用事业账单、银行对账单或推荐信。

⁵ The Fund (or its delegate) may request additional information for any introducer to satisfy the requirements of being an Eligible Introducer, even if he/she has been previously recognized so.

本基金（或其代表）可要求任何介绍人提供补充材料，以满足成为合格介绍人的要求，即使该介绍人之前已被认可为合格介绍人。

2.2 Corporate Customers:Yes ☐

公司客户：

是

- a. Certificate of incumbency or equivalent issued within the last 6 months showing the status of the corporate;
在过去6个月内出具的表明公司状态的存续证明或同等证明；
- b. Certificate of incorporation or equivalent;
公司注册证书或同等证书；
- c. Constitutional documents (e.g., memorandum and articles of association, by-laws);
组织章程文件（如组织大纲和公司章程、附则）；
- d. Register of directors;
董事名册；
- e. Register of members;
股东名册；
- f. Powers of Attorney or other authority⁶, identification information⁷ and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment;
所有经授权可代表客户进行投资的个人的授权书或其他授权书⁶、身份信息⁷以及签名样本；
- g. Identification information⁷ of all directors, including the executive director(s); and
所有董事（包括执行董事）的身份信息⁷；和
- h. Identification information⁷ of all natural persons owning more than 10% interest in the corporate directly or indirectly (Note: Where there are one or more entities in a chain of ownership meeting this criterion, please provide the ownership structure of these entities in the chain in addition to the identification information).
所有直接或间接拥有公司10%以上权益的自然人的身份信息⁷（注：如果所有权链中有一个或多个实体符合这一标准，请提供该等实体的所有权结构以及身份信息）。

2.3 Partnership/Unincorporated Business Customers:Yes ☐

合伙企业/非公司型企业客户：

是

- a. Certificate of incumbency or equivalent issued within the last 6 months showing the status of the partnership;
在过去6个月内出具的表明合伙企业状态的存续证明或同等证明；
- b. Certificate of registration or equivalent;
注册证书或同等证书；
- c. Partnership agreement or equivalent;
合伙协议或同等协议；
- d. Register of limited partners;
有限合伙人名册；
- e. Powers of Attorney or other authority⁶, identification information⁷ and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment;
所有经授权可代表客户进行投资的个人的授权书或其他授权书⁶、身份信息⁷以及签名样本；
- f. Identification information⁷ of the general partner and the controllers; and
普通合伙人和控制人的身份信息⁷；和
- g. Identification information² of all natural persons owning more than 10% interest in the partnership directly or indirectly (Note: Where there are one or more entities in a chain of ownership meeting this criterion, please provide ownership structure of these entities in the chain in addition to the identification information); and
所有直接或间接拥有合伙企业10%以上权益的自然人的身份信息⁷（注：如果所有权链中有一个或多个实体符合这一标准，请提供该等实体的所有权结构以及身份信息）；以及

⁶ The Powers of Attorney or other authority should provide (1) evidence of the authority to enter into the business relationship with the Fund and (2) the list of the individuals that are authorised to act on the customer's behalf in relation to its investment in the Fund.

委托书或其他授权书应提供（1）与本基金建立业务关系的授权证据及（2）经授权代表客户对本基金进行投资的个人名单。

⁷ Requirements of identification information should refer to the respective section set out in this guidance.

身份信息的要求应参照本指南中所列的相应章节。

2.4 Trust, NPO and Other Customers (e.g., family trusts, charities, foundations, etc.): 信托、非营利组织及其他客户（如家族信托、慈善机构、基金会等）：

Yes ☐
是

- a. Trust deed, declaration or equivalent;
信托契约、声明或同等文件；
- b. Powers of Attorney or other authority, identification information and specimen signatures of all individuals that are authorised to act on the customer's behalf in relation to its investment in the Fund; and
所有经授权可代表客户对本基金进行投资的个人的授权书或其他授权书、身份信息以及签名样本；
- c. Identification information of the trustees, the settlors, the protector, the enforcer, the beneficiaries (with a fixed and vested interest), the principal/officer (as applicable) and any other natural person exercising ultimate effective control over the trust or legal arrangement (Note: Where there are one or more entities in a chain of ownership meeting this criterion, please provide ownership structure of these entities in the chain in addition to the identification information).
受托人、托管人、保护人、执行人、受益人（拥有固定及既得利益）、委托人/高级管理人员（如适用）及对信托或法律安排行使最终实际控制权的任何其他自然人的身份信息（注：如果所有权链中有一个或多个实体符合这一标准，请提供该等实体的所有权结构以及身份信息）。

Part 3 – Politically Exposed Persons Declaration

第3部分——政治公众人物声明

Please “✓” in the appropriate box below and go to Part 4.

请在下面适当的方框中填写“✓”，然后转到第4部分。

Is the customer or any of its beneficial owners or controllers a Politically Exposed Person (“PEP”)⁸, a Family Member⁸ of a PEP or a Close Associate⁸ of a PEP, or is acting on the behalf of a PEP?

Yes ☐
是

No ☐
否

客户或其任何受益所有人或控制人是政治公众人物（“PEP”）⁸、PEP的家庭成员⁸或PEP的紧密联系人⁸，还是代表PEP行事？

Part 4 – Ethical Standing

第4部分 – 道德立场

Please “✓” in the appropriate box below and go to Part 5.

请在下面适当的方框中填写“✓”，然后转到第5部分。

Is or has been the customer, or principals of the customer, the subject of criminal/civil or regulatory proceedings for crime, corruption, misuse of public funds or associated with such persons?

Yes ☐
是

No ☐
否

客户或客户的委托人是否或曾经是因犯罪、腐败、滥用公共资金或与此类人员有关联而受到刑事/民事或监管诉讼的对象？

⁸ The Politically Exposed Person and their family members and close associates are defined in the Notes and Instructions Section.
政治公众人物及其家庭成员和紧密联系人的定义见“注释和说明”部分。

Part 5 – Source of Funds of the Customers⁹

第5部分 – 客户资金来源⁹

Please (1) “✓” in the appropriate box of the categories below, (2) follow the instructions under the appropriate category and (3) go to Part 6.

请：（1）在下面类别的适当方框中填写“✓”；（2）遵循适当类别下的说明；以及（3）转到第6部分。

5.1 Individual Customers (i.e., natural persons):

个人客户（即自然人）：

Yes ☐

是

Please follow all the following questions below and select or fill in the information.

请回答以下所有问题，并选择或填写信息。

Source of Funds: 资金来源：			
Employment Status: 就业状况：		Employment Start Date (mm/yyyy): 雇用开始日期（年/月）：	
Job Nature: 工作性质：		Job Level: 职务级别：	
Name of Employer/Business: 雇主/企业名称：			
Address of Employer/Business: 雇主/企业地址：			

5.2 Corporate and other legal form customers:

公司及其他法定形式的客户：

Yes ☐

是

a. Please “✓” in the appropriate box below.

请在下面适当的方框中填写“✓”。

The investment is to be made on behalf of and in the interest of the customer itself.

投资是代表客户并为客户本身的利益而进行的。

Yes ☐

是

The investment is to be made on behalf of the customer’s customer.

投资是代表客户的客户进行的。

Yes ☐

是

b. Please select.

请选择。

Source of Funds: 资金来源：	
Business Industry: 行业类型：	

⁹ Source of funds of the principals in the case of nominees or agents.
若为代名人或者代理人，则提供委托人的资金来源。

c. Please “✓” in the appropriate box below.

请在下面适当的方框中填写 “✓”。

Is your business/organization engaged in any of the following businesses/activities?

贵公司/机构是否从事下列业务/活动？

- | | |
|--|-----------------------------------|
| (1) Arms, defense, military, atomic power, marijuana;
武器、国防、军事、原子能、大麻； | Yes <input type="checkbox"/>
是 |
| (2) Extractive industries, precious metals and stones, virtual currencies;
采掘业、贵金属和宝石、虚拟货币； | Yes <input type="checkbox"/>
是 |
| (3) Money or value transfer, payment service, gambling;
货币或价值转移、支付服务、赌博； | Yes <input type="checkbox"/>
是 |
| (4) Regulated charities, non-government organisation;
受监管的慈善机构、非政府组织； | Yes <input type="checkbox"/>
是 |
| (5) Unregulated charities, embassy/consulate;
不受监管的慈善机构、大使馆/领事馆； | Yes <input type="checkbox"/>
是 |
| (6) Adult entertainment, shell bank ¹⁰ ; or
成人娱乐，空壳银行 ¹⁰ ；或 | Yes <input type="checkbox"/>
是 |
| (7) None of the above.
以上都不是。 | Yes <input type="checkbox"/>
是 |

d. Please “✓” in the appropriate box below.

请在下面适当的方框中填写 “✓”。

We confirm there is no natural person who qualifies as a beneficial owner¹¹ of the customer.

我们确认，尚无自然人有资格成为客户的受益所有人¹¹。

Yes ☐
是

We confirm the following table includes all natural persons who qualifies as a beneficial owner¹¹ of the customer.

我们确认下表包括所有符合客户受益所有人¹¹资格的自然人。

Yes ☐
是

e. Please “✓” in the appropriate box below.

请在下面适当的方框中填写 “✓”。

Beneficial Owner¹¹ Details

受益所有人详细信息

Full Name 全名 (as shown on passport/ identification card) (如护照/身份证所示)	Employment Status 就业状况	Job Nature 工作性质

¹⁰ A shell bank is defined as a bank that has no physical presence in the country in which it is incorporated and licensed, and which is unaffiliated with a regulated financial group that is subject to effective consolidated supervision ("physical presence" means management located within a country; the existence simply of a local agent or low-level staff do not constitute physical presence).

空壳银行是指在其注册和获得许可的国家没有实体存在，并且不隶属于受有效综合监督的受监管金融集团的银行（“实体存在”是指位于某国的管理层；仅存在当地代理人或低级别员工并不构成实体存在）。

¹¹ Beneficial owners are defined in the Notes and Instructions Section.

受益所有人的定义见附注和说明部分。

Part 6 – Declaration

第6部分 – 声明

Please (1) read the declaration and (2) provide your name and sign off.

请（1）阅读声明，以及；（2）提供您的姓名并签字。

I/we declare that the information and documentation provided in this document and as required by this document are, to the best of my/our knowledge, and belief, true, correct, updated and complete.

本人/我们声明，就本人/我们所知所信，本文件中提供的信息和文件以及本文件要求的信息和文件是真实、正确、最新和完整的。

Signature 签名			
Individual Customers (i.e., natural persons) 个人客户（即自然人）		Corporate or Other Legal Form Customers, Nominees or Agents, or Eligible Introducers 公司或其他法律形式的客户、代名人或代理人或合格介绍人	
Signature: 签名:		Signature of Authorized Signor: 授权人签名:	
Name: (as shown on passport/ identification card) 姓名（如护照/身份证所示）		Name of Authorized Signor: (as shown on passport/ identification card) 授权人姓名（如护照/身份证所示）	
Date (dd/mm/yyyy): 日期		Capacity of Authorized Signor: 授权人签字人职务	
		Date (dd/mm/yyyy): 日期	

Please remember to save the file after all the applicable options are checked and all the information are provided.

切记在勾选所有适用选项并提供所有信息后保存文件。

NOTES AND INSTRUCTIONS 注释和说明

Identification Documents and Certification 身份证明文件和证明

- The copies of identification documents, especially the identification card, must be legible. The photograph must be clear and the person identifiable from the photograph.
身份证明文件（特别是身份证）的复制件必须清晰可辨。照片必须清晰，并能从照片中识别出该人。
- The copies of identification documents can only be accepted where they have been certified by suitable certifiers within the last 3 months.
身份证明文件的复制件必须在过去3个月内由合适的见证人/见证机构见证，才可获接纳。
 - The certifiers should be suitable persons, such as, lawyers, accountants, directors or managers of regulated financial institutions, a notary public, a member of the judiciary or a senior civil servant/government official. No individuals should certify their own documents.
见证人应是适当的人士，如律师、会计师、受监管金融机构的董事或经理、公证人、司法机构成员或高级公务员/政府官员。任何个人都不得证明自己的证件。
 - The certifier should print and sign his/her name, indicate his/her professional designation and designation number, institution name & position, phone number, contact email.
见证人应打印并签署其姓名，注明其专业职称和职称号、机构名称和职位、电话号码、联系电子邮件。
- Preferably, the certification should read: "The document is certified by me as a true and accurate copy of the original.". The certification should also confirm that the photograph bears a true likeness to the individual requesting the certification.
证明最好写为：“本人证明，此文件是原件的真实准确的复制件。”。证明还应确认照片与见证申请人真实相似。
- In cases where the certification is attached to the copy document page, the wording should clearly identify what documentation is being certified including specific references to the name, passport number and date of birth of the person.
如果证明附在文件复制件上，措辞应明确指出其见证的文件，包括具体提及该人的姓名、护照号码和出生日期。
- In cases where the identification card does not bear a signature, the bearer of the document should sign the copy and the signature should be certified together with the document itself (i.e., the certifier should state: "and the bearer of the document has signed in my presence").
如果身份证上没有签名，证件持有人应在复制件上签名，签名应与证件一起见证（即见证人应说明：“且文件持有人已在本人的见证下签字”）。
- Where documents or certification is in a language other than English or Chinese, certified translation is required.
如果文件或证明是英文或中文以外的语言，则需要经见证译本。
- If a document is presented in an electronic form, it may be regarded as an original if it is evident that it was issued or created in such an electronic form. However, the Fund (or its delegate) reserves the right to request hard copy documents, certification and/or additional information as it sees necessary.
如果文件以电子形式提交，且该文件显然是以这种电子形式签发或制作的，则该文件可被视为原件。但是，本基金（或其代表）保留要求提供硬拷贝文件、证明和/或其认为必要的补充信息的权利。

Beneficial Owners 受益所有人

- A beneficial owner means the natural person who ultimately owns or controls the customer or on whose behalf a transaction or activity is being conducted and includes but is not restricted to:
受益所有人是指最终拥有或控制客户或代表其进行交易或活动的自然人，包括但不限于：
 - In the case of a legal person other than a company whose securities are listed on a recognised stock exchange, a natural person who ultimately owns or controls, whether through direct or indirect ownership or control, 10% or more of the shares or voting rights in the legal person;

对于其证券在认可证券交易所上市的公司以外的法人而言，是指通过直接或间接所有权或控制权最终拥有或控制该法人10%或以上股份或表决权的自然人；

- In the case of any legal person, a natural person who otherwise exercises ultimate effective control over the management of the legal person; or
对于任何法人而言，是指以其他方式对该法人的管理行使最终有效控制权的自然人；或
- In the case of a legal arrangement, the trustee or other person who exercises ultimate effective control over the legal arrangement.
对于法律安排而言，是指受托人或对法律安排行使最终有效控制权的其他人。

The Politically Exposed Persons and their Family Members and Close Associates

政治公众人物及其家庭成员和紧密联系人

- A Politically Exposed Person ("PEP") is an individual who holds an important public position, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official, or an individual who holds a prominent position of an international organization, including a director, deputy director and member of the board or equivalent function.
政治公众人物（“PEP”）是指担任重要公职的个人，包括国家元首、政府首脑、高级政治家、高级政府官员、司法或军事官员、国有企业的高级管理人员和重要的政党官员，或在国际组织中担任重要职务的个人，包括董事、副董事和董事会成员或同等职务。
- The PEP defined here does not include a middle-ranking or more junior official of any of the categories mentioned above.
此处定义的PEP不包括上述任何类别的中级或更低级的管理人员。
- A family member of a PEP is an individual who is related to the PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership, including a spouse, a partner, a child or a parent of the PEP, or a spouse or a partner of a child of the PEP.
PEP的家庭成员是指与PEP有直接关系（血缘关系）或婚姻或类似（民事）形式的伴侣关系的个人，包括PEP的配偶、伴侣、子女或父母，或PEP子女的配偶或伴侣。
- A close associate to a PEP is an individual who is closely connected to the PEP, either socially or professionally, including an individual who is a beneficial owner of a legal person or trust of which the PEP is also a beneficial owner, or an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the PEP.
PEP的紧密联系人是指在社会或职业上与PEP有紧密联系的个人，包括PEP也是其受益所有人的法人或信托的受益所有人，或为PEP的利益而设立的法人或信托的受益所有人。

AML/CFT ATTESTATION LETTER

(Applicable to Nominees, Agents, Eligible Introducers only)
(To be completed on the letterhead of the Nominee, Agent, or Eligible Introducer)

NuBright Fund Services Limited
Room 1903, 19/F Chinachem Tower
34-37 Connaught Road
Central Hong Kong
Email: taservice@nubright.com
Attn: Account Manager

To Whom It May Concern,

RE: [name of principal] (the "Principal")

1. We, [name of Nominee/Agent/Eligible Introducer], a company incorporated in [name of jurisdiction] and having a registered address at [registered address], are regulated by [name of regulator] ([Registration no.]) and are compliant with the anti-money laundering requirements of [name of jurisdiction]. We confirm we have adequate AML/CFT measures in place to comply with the relevant requirements.
2. We confirm that the Principal is [incorporated/established (please amend as appropriate if the entity is not a company)] in accordance with the laws of [name of jurisdiction], on [date], having a registered address at [registered address].
3. We confirm that we have acted as the [Trustee/Nominee/Manager/Fund Administrator/Registrar] of the Principal since [date].
4. We confirm that we have performed verification of the identity of the Principal based on the initial risk assessment, and, where applicable, their beneficial owners¹, other controlling parties and proxy holders, such that the ownership and control structure of the underlying customer(s), in particular the legal person(s), trust(s) and similar legal arrangement(s), is/are understood and the risks associated with the Principal are assessed. We confirm that we have identified the source of funds of the Principal.
5. We confirm that we have performed enhanced due diligence on the underlying customers with higher risks and their beneficial owners¹, including, where applicable, politically exposed persons ("PEP"), and, where a relationship being established with countries or territories which do not or insufficiently apply AML/CTF/CPF measures and that we will continue to do so on an on-going basis.
6. All relevant documents of the Principal and, where applicable, the beneficial owners¹, will be retained on file. We confirm that we will provide to you a copy of the evidence of the identity of the Principal and, where applicable, their beneficial owners¹, promptly upon your request and will not destroy such evidence without prior notice.
7. We confirm that all names of customers and beneficial owners¹ are screened against the lists prescribed by the United Nations Security Council, the European Union and the United States Office of Foreign Assets Control, as well as, the sanctions lists prescribed by the regulations in the jurisdiction(s) applicable to the Principal (collectively referred to as 'sanctions'). We confirm that the Principal does not accept investments from, or conduct business with, a person or entity which it is aware is a party subject to these sanctions.
8. We confirm that the reasonable measures are in place to detect transactions which are suspicious and potentially linked to money laundering and sanctions.
9. We confirm that we are NOT aware that (i) the Principal has been found to be, or has been suspected of, conducting any activity that would presently constitute a money laundering and/or terrorist financing offence; or (ii) the source of funds is not legitimate; or (iii) the Principal is, or is associated with, a politically exposed person.
10. We confirm that we do not enter into business relationship with any company using bearer shares or bearer instruments. We confirm that we do not enter into business relationship with any shell bank or accept any shell bank as the underlying customer or beneficial owner¹.

Yours faithfully,

Authorised signatory name:

Job/position title:

Date:

Contact details of signatory

Address:

Email:

Telephone:

¹ Beneficial owners are defined in the Notes and Instructions Section of the Customer Due Diligence Questionnaire