Anti-money laundering (AML) form

Corporate and other non-personal entity

Please complete and sign before forwarding to us at the address below.

0131 226 9535 client.relations@nucleusfinancial.com Nucleus client relations, PO BOX 26968, Glasgow G2 9DY

This form provides confirmation that the verification of identity of a corporate or other non-personal entity for business has been performed by the adviser, and the adviser is aware that Nucleus will rely on that AML.

Details of client

Company/Corporate name

Type of entity (corporation, trust etc)

Nature of business

Current operating address

Registered office in country of incorporation

Registered number, if applicable

Relevant company registry or regulated market listing authority

Please fill out the below points if the corporate or non-personal entity is a client.

Names of directors (individual AML forms are also required for each director*, unless this is a registered pension scheme)

Names of principal beneficial owners over 25% (individual AML forms are also required for each beneficial owner*)

Confirmation

I/We confirm that:

(a) the information above was obtained by me/us in relation to the client;

(b) the evidence I/we have obtained to verify the identity of the customer is either (please tick one box)

- ☐ Standard due diligence as set out within the guidance for the UK Financial Sector issued by the JMLSG; or
- ☐ Enhanced due diligence evidence as set out within the guidance for UK financial sector issued by JMLSG. (Written details of the further verification evidence taken are attached to this confirmation)

Signed

Name

Position and FCA individual reference number

Date

Full name of regulated firm

FCA firm reference number

Important note

'Relevant company registry' includes other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.

* Individual AML is not needed where they are already clients on the platform

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