

# Nationality and residency questionnaire

Nucleus client relations, PO BOX 26968, Glasgow G2 9DY.

We do not accept new business from non-UK residents and US persons (irrespective of country of residence). All new customers must be both UK-resident and UK tax-resident, with their primary residential address in the UK.

For existing clients moving outside of the UK, to allow the country of residence field to be updated on the platform:

- If the country the client has moved to falls under Tier 1, please raise a Jira confirming the country to be made available
- If the country falls under Tier 2 or 3, please complete this form as below and provide the supporting documentation

In order to request a nationality (see Appendix 1 for country list) to be made available on the platform, please complete this form and return it to our client relations team.

Requests will be reviewed and a decision provided within two business days. To ensure this application is processed swiftly please ensure the following certified documents are attached with the form:

- Copies of ID and address verification
- A copy of a statement from the client's UK bank account
- A document which verifies the client's source of wealth (see Appendix 2 for examples). All documents must be in English or with an English translation provided.

For the Offshore Bond account please check available jurisdictions with Nucleus Client Relations.

Client name

What is the client's tax residency?

Client date of birth

Are they a tax resident in any other country?

Yes    No    (tick the relevant option)

Residential address

If yes please confirm

What is the client's nationality?

Do you have an existing relationship with the client? If yes, please confirm number of years.

Dual nationality (if applicable)

Do you have robust monitoring controls in place to identify irregular account activity e.g. increased trading activity, contributions, withdrawals?

What is the client's current country of residence?

Is this the client's usual/permanent country of residence?

Please provide details of the verified source of funds (bank account used to fund the client's new investment).

Please confirm the investment value (if applicable)

Account holder's name

Please detail the required account type(s) e.g. General account, Pension, Isa, etc.

Sort code

Account number

## Nationality and residency questionnaire (continued)

Please provide details of the verified source of wealth and attach certified supporting documentation.

Please advise of any other relevant information in order to support this request.

Occupation (if retired please confirm occupation before retirement)

Earned income (pa)

Please note that if the client does not have an account with a UK incorporated bank, you cannot progress with the application. Please refer to the "list of banks" as noted at <http://www.bankofengland.co.uk/pru/Pages/authorisations/fscs/bankingandsavings.aspx#lists>

Please tick the relevant option:

Savings

Property or asset sale

Company profits

Company sale

Pension transfer

Inheritance

Other (what?)

Each request will be reviewed on an individual basis by our Financial Crime team.

Requests will be reviewed and a decision provided within two business days.

Signed (we require a handwritten signature)

Name

Position

Date

Full name of regulated firm

FCA reference number

How was the source of wealth verified?

Is this non face-to-face business?

Is the client a politically exposed person (PEP)?

If yes, please provide details of enhanced AML checks completed

Does the client have an account with a UK incorporated bank?  
(We can't support payments to overseas bank accounts)

# Nationality and residency questionnaire (continued)

## Appendix 1 – Country Risk

This appendix accompanies our Nationality and Residency policy, providing a list of countries which either:

- Pose an increased or high risk of financial crime, based on assessments by the Financial Action Task Force (FATF), HM Treasury and Transparency International, or;
- Pose an increased or high risk of non-compliance with requirements of overseas tax jurisdictions.

It groups countries into three “tiers”:

- Countries falling into Tier 1 are considered low risk. Applications from nationals of these can be submitted in the normal way. Please raise a Jira asking us to add the country of residence to enable you up to date the address.
- Countries classed as Tier 2 are considered to pose an increased risk regarding financial crime and any applications from nationals of these countries must be referred to the financial crime team via Jira to decide whether the business can be submitted (Nationality and residency questionnaire needs to be completed and attached as a supporting ‘know your client’ (KYC) document).
- Countries classed as Tier 3 are considered high risk and we will accept business from clients who are nationals of those countries on a case by case basis. Applications must be referred to the financial crime team via Jira to decide whether the business can be submitted (Nationality and residency questionnaire needs to be completed and attached as a supporting KYC document.)
- Please note, not all countries are included on this list. If you wish to submit an application for a country not on this list please contact client relations.

Any existing clients submitting top ups falling under a combination of countries on Tier 1, 2 and 3 need to be re-assessed by the financial crime team and the Nationality and residency questionnaire must be submitted on Jira along with copies of source of wealth evidence and ID and address verification (if not previously provided).

The list is maintained on a quarterly basis by the financial crime team and is subject to change.

## Nationality and residency questionnaire (continued)

Tier 1				
Andorra	Cyprus	Japan	Montenegro	San Marino
Albania	Czech Republic	Jamaica	Nauru	Seychelles
Antigua and Barbuda	Denmark	Jordan	Netherlands	Singapore
Argentina	Dominica	Korea, South	New Zealand	Slovakia
Armenia	Estonia	Latvia	Norway	Slovenia
Australia	Finland	Liechtenstein	Peru	Spain
Austria	France	Lithuania	Poland	Sweden
Belgium	Georgia	Luxembourg	Portugal	Switzerland
Bermuda	Grenada	Macedonia (North Macedonia)	Puerto-Rico	Taiwan
Botswana	Greece	Marshall Islands	Romania	Tunisia
Brunei Darussalam	Iceland	Mauritius	Saint Lucia	United Kingdom
Chile	Ireland	Micronesia (Federated States of)	Saint Vincent and the Grenadines	Uruguay
Cook Islands	Italy	Moldova		

  

Tier 2				
Aruba	Columbia	Guyana	Maldives	Saint Kitts and Nevis
Azerbaijan	Costa Rica	Honduras	Malta	Saudi Arabia
Bahamas	Cuba	Hong Kong	Mauritania	Serbia
Bahrain	Djibouti	Hungary	Mexico	Sri Lanka
Bangladesh	Dominican Republic	India	Monaco	Tajikstan
Barbados	Ecuador	Indonesia	Mongolia	Thailand
Belize	Egypt	Israel	Morocco	Timor-Leste
Benin	El Salvador	Kazakhstan	Nepal	Tonga
Bhutan	Eritrea	Kuwait	Niger	Turks and Caicos
Bolivia	Ethiopia	Kyrgyzstan	Oman	Uganda
Brazil	Gambia	Lesotho	Pakistan	United Arab Emirates
Burundi	Germany	Macao (part of China)	Paraguay	Uzbekistan
Cape Verde	Ghana	Malawi	Qatar	Zambia
Cayman Islands	Guatemala	Malaysia	Rwanda	

  

Tier 3				
Anguilla	Curacao	Laos	Papua New Guinea	Togo
Bosnia and Herzegovina	Equatorial Guinea	Lebanon	Philippines	Trinidad and Tobago
British Virgin Islands	eSwatini (Swaziland)	Liberia	Saint Martin	Turkey
Bulgaria	Fiji	Madagascar	Samoa	Turkmenistan
Burkina Faso	Gabon	Montserrat	Sao Tome and Principe	Tuvalu
Cambodia	Gilbraltar	Namibia	Senegal	United States of America
Canada	Guernsey (inc. Alderney & Sark)	Nigeria	Sierra Leone	Vanuatu
Chad	Isle of Man	Niue	Soloman Islands	Vatican
China	Jersey	Palau	South Africa	Zimbabwe
Comoros	Kiribati	Palestine (West Bank and Gaza)	Sudan	
Congo, The Republic of	Kosovo	Panama	Suriname	
Croatia			Tanzania	

# Nationality and residency questionnaire (continued)

## Appendix 2– Source of wealth documentation

Source	Required documentation
Savings from salary	<ul style="list-style-type: none"> <li>• Certified copy of a payslip</li> <li>• Letter from employer confirming salary on company headed paper</li> <li>• If self-employed; latest audited accounts</li> </ul>
Sale / maturity of investments	<ul style="list-style-type: none"> <li>• Certified copy of an investment certificate</li> <li>• Certified Investment cash-in statement</li> <li>• Signed letter from a regulated accountant</li> </ul>
Sale of property	<ul style="list-style-type: none"> <li>• Certified copy of the sale contract</li> <li>• Signed letter from the involved solicitor / estate agent</li> </ul>
Inheritance	<ul style="list-style-type: none"> <li>• Grant of probate including a copy of the will N.B. this must include the value of the estate</li> <li>• Signed Letter from the solicitor involved in the settlement</li> </ul>
Divorce settlement	<ul style="list-style-type: none"> <li>• Certified copy of court order</li> <li>• Signed Letter from the solicitor involved in the settlement</li> </ul>
Company sale	<ul style="list-style-type: none"> <li>• Signed letter from solicitor or regulated accountant</li> <li>• Certified copy of contract of sale</li> <li>• Copies of media coverage / companies house records</li> </ul>
Gift	<ul style="list-style-type: none"> <li>• A letter from the donor confirming details of the gift along with a document from the list above dependent on the donor's source of wealth</li> </ul>
Gambling/lottery win	<p>Confirmation of the name of the organisation providing the winnings, how the money was won, date and amount of winnings, plus one of:</p> <ul style="list-style-type: none"> <li>• Signed letter from the organisation providing the proceeds of the win on letter-headed paper confirming name of winner, date of win and value of winnings;</li> <li>• Bank statement showing deposit of winnings in client's name and referencing the organisation providing the proceeds of the win;</li> <li>• Media coverage of the win showing name of winner, date of win and value of winnings.</li> </ul>

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 0131 226 9535, or via the Typetalk service on 18001 0131 226 9535.



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