



MASTER COMPLEXITY™

AML DOCUMENTATION GUIDELINES – Document Guidelines

Please supply the required documents shown below. Please note we only accept original or certified copies and all original documents will be returned as soon as possible. For UK / EEA registered companies, copies must be certified and dated by an authorised signatory or company secretary within the firm. For all other entities, copies must be certified and dated by an independent professional or regulated person subject to the anti-money laundering regulations and include the signature, name and position of the person signing. The certification must be dated within the last 6 months.

Sub Type Reference	Required Documents
1	As a UK / EEA Regulated Firm, we require: <ul style="list-style-type: none"> • Confirmation of regulated parent (please complete enclosed Letter of Assurance) • Up-to-date authorised signatories list
2	As a non-UK / EEA Regulated Firm or subsidiary, we require: <ul style="list-style-type: none"> • Confirmation of regulated parent (please complete enclosed Letter of Assurance) • Completed Wolfsberg Questionnaire dated within the last 12 months • Up-to-date authorised signatories list
3	As a Nominee of a UK / EEA Regulated firm, we require: <ul style="list-style-type: none"> • Confirmation of regulated parent (please complete enclosed Letter of Assurance) • Up-to-date authorised signatories list
4	As a Public Limited Company, we require: <ul style="list-style-type: none"> • Confirmation of Stock Exchange Listing • Up-to-date authorised signatories list
5	As a Private Corporate company, we need to obtain details of the following: <ul style="list-style-type: none"> • Certificate of Incorporation and • Memorandum / Articles of Association and • Full List of Directors and shareholders • Up-to-date authorised signatories list
6	As a Nominee that is not owned by a Regulated Parent, we require: <ul style="list-style-type: none"> • Certificate of Incorporation (or equivalent) and • Memorandum / Articles of Association (or equivalent) and • Full List of Directors and shareholders • Up-to-date authorised signatories list