



### **Letter of Assurance Guidelines**

Under UK Money Laundering Regulations we may be able to apply a simplified level of due diligence where certain requirements are met, such as dealing with a regulated entity.

Your organisation does not appear to be regulated, therefore please either:

1. Complete the enclosed form confirming the UK / EU / EEA regulated entity you are governed by and supply an organisation chart to enable us to apply simplified due diligence, or
2. If you are not governed by a UK / EU / EEA regulated entity, please provide supporting documentation that can be used to satisfy our anti-money laundering requirements. We may contact you for further information.

Please note that until we receive this information we will withhold any applicable repurchase proceeds. There may also be a delay in the acceptance of any further funds until our requirements have been satisfied.

Please ensure you add the fund group your Letter of Assurance is being sent to at the top of the next page.

Fund Group:
Client Name:
Client Number / UH ID / Reference:

**Letter of Assurance**

Full name of nominee / wholly owned subsidiary:

.....

Registered Address of firm:

.....

Full name of **regulated parent**:

.....

Full address of **regulated parent**:

.....

Regulators name (e.g. UK - FCA):

.....

Regulators Reference Number:

.....

Please ensure this form is signed by a Director or the MLRO of the parent company if in the UK, or an equivalent person if outside of the UK. By signing this you are confirming that the above nominee / unregulated subsidiary firm is governed by your organisation for anti-money laundering purposes and subject to your policies and procedures. Also, that it is the subject of regular reviews and audits confirming that they apply anti-money laundering standards equivalent to the Joint Money Laundering Steering Group (in the UK) and / or 4<sup>th</sup> EU Anti-Money Laundering Directive, as amended from time to time, or equivalent legislation.

**Completed By:**

**Signed:** .....

**Name (PRINT):**.....

**Date:** .....

**Position (PRINT):**.....