

DUE DILIGENCE REQUIREMENTS – COMPANIES

In accordance with British Virgin Islands anti-money laundering legislation and regulations, Ascentium is required to conduct due diligence. A simplified procedure may apply for legal entities that are listed on a recognised stock exchange and/or entities where Ascentium may already have the required information. If you think the company may be eligible for simplified due diligence, please contact us at Ascentium. The form is interactive which means that you can complete it on-screen and click on links, but it can also be printed and completed by hand. Ascentium reserves the right to make appropriate and reasonable requests for additional information as required.

✓ CORPORATE DUE DILIGENCE

You will need to provide Ascentium with copies of the following documentation:

- a. Certificate of Formation/Incorporation;
- b. Memorandum & Articles of Association (or equivalent governing institution)

✓ REGISTERED OWNERSHIP AND CONTROL

Ascentium will need to verify identity for directors, shareholders and ultimate beneficial owners. Please provide the following documentation:

- a. Register of Directors and Register of Shareholders (or equivalent, eg. a Certificate of Incumbency)

✓ ULTIMATE BENEFICIAL OWNERSHIP

If the registered shares are held on behalf of a beneficial owner by a nominee, Ascentium will also need to verify identity for such individual beneficial owners. Companies with several corporate layers of ownership and/or control will be asked to provide a certified structure chart, which enables us to understand who the individuals are behind the structures.

✓ QUESTIONNAIRE

Please complete the compliance questionnaire for individuals [here](#). The form is interactive which means that you can complete it on-screen and click on links, but it can also be printed and completed by hand. Your Ascentium representative will also be able to provide any assistance or guidance you may need. You must return this to Ascentium along with the required documentation, such as proof of address and identity and any other information Ascentium requested.

✓ INFORMATION

To help ensure that your documents will meet the requirements, you may find our document certification cover letter useful. The template is easy to use and you can find it by clicking [here](#).

A certifier needs to be good standing and subject to enforced standards of professional conduct (such as a lawyer or an accountant). If you would like to know more about our due diligence procedures, please contact us at Ascentium who will be happy to help.

Ascentium reserves the right to make reasonable requests for additional documentation from time to time ensure compliance with regulatory obligations.

COMPLIANCE INFORMATION

Full legal name		
Former name(s)		
Trading name(s) or aliases		
Date of formation	<i>(DD/MM/YYYY)</i>	
Country of formation		
Current country of registration <i>(if different from above)</i>		
Current registration number		
Country of tax residence		
Place(s) of business/trading activity		
Telephone number(s) <i>(please include country prefix)</i>		
Website and contact e-mail address(es)		
Registered Office address	Address 1	
	Address 2	
	City	County/State
	Country	Post/Zip code

Address for service of documents	Address 1	
	Address 2	
	City	County/State
	Country	Post/Zip code
Mailing address (if different from either address above)	Address 1	
	Address 2	
	City	County/State
	Country	Post/Zip code
Is the entity listed, regulated and/or registered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, please indicate the jurisdiction, name of the stock exchange and ticker symbol or the name of the regulatory authority.		
If the company is a professional practitioner (like an accountancy or legal firm) and subject to AML regulations, please indicate regulator and jurisdiction.		
Director's statement as to the nature of the company's business Please provide the purpose of the company and a detailed description of its main activity(ies).		
Source of Funds Please provide a detailed description of the source of funding for the company.		

<p>Ultimate Beneficial ownership</p> <p>Please list the names of all Beneficial Owner(s) who own and/or control this entity</p>		
<p>DECLARATIONS REGARDING UK CRIMINAL FINANCES ACT 2017</p>		
<p>Has there ever been a situation where a party related to the entity has had reason to believe that there may be legal and/or tax issues in connection with this structure and the laws and institutions of any jurisdiction?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<p>If yes, please provide further details below.</p>		
<p>Has any party related to the entity received professional advice in relation to this structure?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No

DECLARATION	
<p>I/We declare (as director(s) of the company) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete. I/We undertake to advise Ascentium promptly of any change in circumstances, which may cause any of the above provided particulars to be inaccurate or incomplete.</p>	
Signing on behalf of	
Directors' quorum of the company	
Signature	
Name	
Position/Capacity	
Date	