

# Identity Verification Certificate

## Private Individual

This form should be completed when introducing a new investor by a UK or EU Intermediary who is regulated by the FSA.

Please complete in BLOCK CAPITALS and in black ink. A separate certificate is required for all parties to the contract for example, joint applicants, trustees, settlers and third parties where you have been required to undertake identification.

### 1. Details of individual (see explanatory notes below)

Title (Mr/Mrs/Miss/Other)	Full Forenames
Surname	Date of birth DD MM YYYY
Permanent residential address	
Postcode	
Previous address (if individual has changed in the last three months)	
Postcode	
Telephone	Email address

### 2. Details of introducing firm (or sole trader)

Full name of regulated firm or sole trader	
Name of introducer	FSA reference number

### 3. Confirmation

I confirm that the information in section 1 above was obtained by me/us in relation to the customer and that the evidence I/we have obtained to verify the identity of the customer:

- Meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG.  
or  
 Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).  
or  
 No verification of identity is required. Based on the amount being invested in respect of this application, I believe that Walker Crips Structured Investments may rely on Simplified Due Diligence for this transaction. I confirm that I have applied the 'One-Off Transaction' exemption in accordance with 5.4.1 of the JMLSG guidance notes in respect of the application for this investment.

Signed	Date DD MM YYYY
	Print Name
	Position

### Explanatory notes

- The Joint Money Laundering Steering Group (JMLSG) guidance notes provide guidance on when a firm can apply Simplified Due Diligence. No verification of identity is required for a 'Transaction' of less than 15,000 Euro on certain low risk products. Walker Crips Structured Investments have imposed a sterling amount of £11,000 or less.
- A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.
- This form cannot be used to verify the identity of any customer that falls into one of the following categories:
  - Those who are exempt from verification as being an existing client of the introducer firm prior to the introduction of the requirement for such verification.
  - Those whose identity has not been verified virtue of the application of a permitted exemption under the Money Laundering Regulations.
  - Those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature, or an electronic equivalent.