

APPENDIX B

GUERNSEY FIDUCIARY INTRODUCER CERTIFICATE

FIC1

|  |            |      |
|--|------------|------|
| Name of bank/deposit taker or accepting financial services business    |            |      |
| Name of Introducer   |            |      |
| Account name (in full)   |            |      |
| Details of associated account/s (which are part of the same structure) |            |      |
| Introducer's contact details   | Address:   |      |
|  | Telephone: | Fax: |
|  | Email:     |      |

The Introducer certifies that it is a Guernsey licensed financial services business and in respect of this account it has obtained and holds the verification required to satisfy the Handbook for Financial Services Businesses on Countering Financial Crime and Terrorist Financing ("Handbook") issued by the Guernsey Financial Services Commission, as updated from time to time. The information disclosed for this account by the Introducer accurately reflects the information held and is being given for account opening and maintenance purposes only. The Introducer undertakes to supply certified copies or originals of the verification documentation upon request without delay.

Signature: \_\_\_\_\_

Full Name: \_\_\_\_\_

Official Position: \_\_\_\_\_

Date: \_\_\_\_\_

Please identify the number of supplementary pages being submitted: FIC2  FIC3  FIC4

**APPENDIX B (CONTINUED)**

**GUERNSEY FIDUCIARY INTRODUCER CERTIFICATE  
IDENTIFICATION INFORMATION**

**FIC2**

Name of Introducer: \_\_\_\_\_  
 Account name (in full): \_\_\_\_\_

**To be completed for applicants for business who are companies, partnerships, trusts or foundations**

|   |  |   |
|---|--|---|
| (if a Company or Partnership):<br>Date and place of incorporation and registration number |  | Are bearer shares currently in issue?<br>Yes <input type="checkbox"/> No <input type="checkbox"/> |
| (if a Company or Partnership):<br>Current registered office address                       |  | If no, can bearer shares be issued?<br>Yes <input type="checkbox"/> No <input type="checkbox"/>   |
| (if a Trust or Foundation):<br>Date of establishment and legal jurisdiction               |  |   |
| Type of trust/foundation/company  |  | Is it a trading company?<br>Yes <input type="checkbox"/> No <input type="checkbox"/>              |

**To be completed for all applicants for business**

|   |  |
|---|--|
| Nature of activities or purpose and intended nature of business relationship (please provide full description):   |  |
| (for all PEP relationships and, where appropriate, for high risk relationships):<br>Source of wealth (and identify the period over which this has been derived) |  |
| Account activity  |  |

**Should the space provided be insufficient, please continue using FIC4.**

|  |                      |                      |
|--|----------------------|----------------------|
| initial of signatory/ies completing FIC1 | <input type="text"/> | <input type="text"/> |
|--|----------------------|----------------------|

APPENDIX B (CONTINUED)

**GUERNSEY FIDUCIARY INTRODUCER CERTIFICATE  
RELATED PARTIES**

**FIC3**

Name of Introducer: \_\_\_\_\_  
 Account name (in full): \_\_\_\_\_

**Details of all principal(s) (see FIC5 for definition) including beneficial owners and excluding officers of the Introducer**

(Please complete the section below and attach additional copies of this sheet as required)

|  | 1  | 2  |
|--|--|--|
| Full Name  |  |  |
| Nationality, date and place of birth   |  |  |
| Current residential address<br>(please include postcode).<br>Note: A PO Box only address is insufficient |  |  |
| Role of principal and date relationship commenced  |  |  |
| Does the Introducer consider the related party to be, or to be associated with a PEP?                    | Yes <input type="checkbox"/> No <input type="checkbox"/> | Yes <input type="checkbox"/> No <input type="checkbox"/> |

|   | 3  | 4  |
|---|--|--|
| Full Name   |  |  |
| Nationality, date and place of birth  |  |  |
| Current residential address<br>(please include postcode).<br>Note: A PO Box only address is insufficient. |  |  |
| Role of principal and date relationship commenced   |  |  |
| Does the Introducer consider the related party to be, or to be associated with a PEP?                     | Yes <input type="checkbox"/> No <input type="checkbox"/> | Yes <input type="checkbox"/> No <input type="checkbox"/> |

initial of signatory/ies completing FIC1

APPENDIX B (CONTINUED)

**GUERNSEY FIDUCIARY INTRODUCER CERTIFICATE  
ADDITIONAL INFORMATION**

**FIC4**

Name of Introducer: \_\_\_\_\_

Account name (in full): \_\_\_\_\_

This section is to be used by the bank/deposit taker to identify any additional information or documentation that they require over and above the stated minimum and/or for the Introducer to provide additional information to supplement the details contained in FIC1, FIC2 and/or FIC3.

initial of signatory/ies completing FIC1

## APPENDIX B (CONTINUED)

### GUERNSEY FIDUCIARY INTRODUCER CERTIFICATE NOTES AND GUIDANCE

FIC5

These notes and the definitions below are intended to assist the Introducer in completing the required forms and to enable greater consistency to be achieved.

- “Associated accounts”** Refers to an account with the same financial services business where any of the principals are connected with an account in the same group or structure.
- “Account activity”** An estimate of the total flow of funds in and out of the account should be provided. An estimated maximum account turnover should also be provided. For a trading operation, the scale and volume of transactions should be explained.
- “Bearer shares”** Should bearer shares be subsequently issued (after the opening of the account) such that the “Yes” box needs ticking in FIC2, an updated form should be supplied to the accepting financial services business without delay.
- “Certified copy”** An officer or authorised signatory of a regulated financial services business will be an acceptable certifier. An acceptable “certified copy” document should be an accurate and complete copy of the original such that the certifier will sign and date the copy document printing his position, capacity and company name.
- “Introducer”** Is a local regulated financial services business as defined in the Handbook.
- “Nature of activities and purpose and intended nature of business relationship”** A sufficient description should be provided to enable the accepting financial services business to properly categorise the underlying nature of the arrangements. If the activity is of a commercial nature, then additional information may be required.
- “PEP”** Politically exposed person as defined in the Handbook.
- “Principal”** Includes any person or other entity that has or is likely to receive a benefit in the foreseeable future or who the Introducer customarily treats as having an economic interest.
- “Role”** This might include, for example, a beneficial owner, a shareholder, beneficiary, settlor, partner, etc.
- “Signatory”** The Introducer’s Certificate will need to be signed or initialled (where appropriate) in line with the Introducer’s current mandate/authorised signatory list held with the accepting financial services business.
- “Source of wealth”** The origins of the wealth of the principal/s (and over what period) should be identified. Generally, simple one word answers will be unacceptable, for example, “income”, “dividends”, “Bill Smith”, or “work”. A brief description to give a fuller picture is expected, for example, “sale of UK private company in 1997”, “life time savings of settler who was a doctor”, “inheritance from parents’ UK estate” and “UK property development over the last 10 years”.
- “Trading”** Implies commercial activity which may include a business, invoicing or re-invoicing operations. For clarity, a “trading company” does not include a personal service/employment company.

Please refer to the bank/deposit taker or accepting financial services business should you have any doubt or queries about completing the Introducer Certificate Forms.