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Client Name: _____

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LIST OF REQUIRED KYC DOCUMENTS / Checklist FOR LEGAL ENTITIES

#	Name of the document (please check the form with above indicated requirements)	
1.	Certificate of Incorporation or Certificate of Registration of the Partnership, EXTRACT from the Trade Register and any Change of Name Certificates or other similar document - legalized or apostilled	
2.	Certificate confirming the place of Client's registered legal address - legalized or apostilled	
3.	Memorandum and Articles of association, Charter, Bylaws or another constituent document and any Amendments to them – legalised or apostilled	
4.	Certificate of Good Standing or other similar document (if company exists more than 1 year and should be issued not more than 6 months ago) - legalised or apostilled	
5.	Certificate of Incumbency (It should contain information about address, directors and shareholders of the company and should be issued not more than 6 months ago) - legalised or apostilled	
6.	Certificate of Directors and Secretary, Register of Directors or another document, confirming the appointment of the directors, if applicable - legalised or apostilled	
	6.1. If Director(s) or/and secretary(ies) of legal person is (are) natural person(s) then for each of them we need to collect the list of documents, relevant to natural persons:	
	Any official identification document with photo (Passport, National identity card, Driving licence, all pages with information) - legalised or apostilled	
	Utility bill, local authority tax bill, bank statement or any other document, issued by the local authority not older than 6 months confirming the permanent address of the Client (the original with certified English translation) – original, legalised	
	Reference Letter from the Bank - original	
	cv	
	6.2. If Director(s) or/and secretary(ies) of legal person is (are) legal person(s) then we need to obtain all corporate documents for this entity - legalised or apostilled	
	Regulated Entity	
	Licence or authorization from a competent supervisory/regulatory authority (copy) or another confirmation of regulatory status.	



	Certificate of Directors and Secretary or another official document, confirming the appointment of the directors, if applicable	
	Authorized signatory list, secretary's certificate or another document confirming the samples of the directors' and other authorized persons' (if applicable) signatures.	
	Documents on all physical persons who has signature rights (please refer to the point 6.1)	
	<u>Unregulated Entity</u>	
	Certificate of Incorporation	
	Memorandum and Articles of association, Bylaws	
	Certificate of Good Standing (if company exists more than 1 year)	
	Certificate of Incumbency	
	Certificate of Registered address	
	Certificate of Directors and Secretary, Register of Directors	
	Certificate of Shareholders, Register of Members	
	Documents on all physical persons who has signature rights (please refer to the point 6.1)	
7.	Certificate of Shareholders, Register of Members - legalised or apostilled. In the shareholder is a natural person, then the list of documents mentioned in p.6.1 will be required.	
	In case the Shareholder is a legal entity, then the full set of corporate documents will be required, as mentioned in p.6.2	
8.	Authorized signatory list, secretary's certificate or another document confirming the samples of the directors' and other authorized persons' (if applicable) signatures. The signatures must be notary certified. If the document features more then one name, it must specify the rules of signature (i.e. whether each person is authorised to act independently, a quorum is required, etc).	
9.	Power of Attorney, if the Client has the Attorney or another representative, who will be opening and/or operating the account, signing contracts, transferring assets, etc, documents etc – legalized and apostilled (if legalized outside EU)	
10.	A copy of Financial statements for the last 3 years and/or the latest management accounts. (if applicable)	
11.	Relevant Board resolution authorizing any attorney-in-fact and/or director to act on behalf non-regulated entity and sign the relevant agreement with the Company - original	
12.	Documents for the beneficial owners of over 10% of share capital. (see 6.1.)	
13.	For proprietary account – scanned copy and hard copy of completed W-8BEN-E tax form – Certificate of status of beneficial owner for United States tax withholding and reporting (entities) http://www.irs.gov/uac/About-Form-W-8BEN-E (original) or FATCA Self-Certification form	
14.	For client's account – scanned copy and hard copy of completed W-8IMY tax form – Certificate of Foreign Intermediary, Foreign Flow-Through Entity, or Certain U.S. Branches for United States Tax Withholding and Reporting*	
	http://www.irs.gov/pub/irs-pdf/fw8imy.pdf (original) or FATCA Self-Certification form	
15.	Investor Questionnaire (original)	



16.	AML Questionnaire (original)			
17.	CRS self-certification form (original)			
18.	If the legal entity is not registered in an EU-member country – Original reference letter from its current banker			
19.	Request for Re-categorisation (original) if applicable			
Review Date:				
Name, Surname:				
Signature:				
Seal:				