

DUE DILIGENCE AND ADDITIONAL INFORMATION

In order to comply with applicable regulatory obligations requiring knowledge of the identity of all Investors and the beneficial ownership and probity of all investor funds we are required to obtain certain information and documentation before an investor can be admitted to a fund.

This Privacy Notice explains how IQ-EQ Group will use ('process') personal data that relates to individuals. It applies where we are 'Data Controller' – where we decide how and why to use an individual's personal data. [Master Privacy Notice \(iqeq.com\)](#).

Please contact TeamHanois@iqeq.com or by telephone on +44 (0) 1481 734300 to initiate the due diligence process which will enable a specific due diligence list of requirements to be agreed prior to documents being provided.

Please ensure that any due diligence documentation is sent by e-mail and/or courier to:

IQ EQ Fund Services (Guernsey) Limited (the "Administrator"), Ground Floor, Cambridge House, Le Truchot, St Peter Port, Guernsey GY1 1WD, Channel Islands, telephone +44 (0) 1481 734300, E-mail: GuernseyKYC@iqeq.com.

The table below shows all relevant types of investors for the purposes of your subscription. In the case of regulated businesses acting on behalf of third parties please contact the administrator as detailed above.

Please note that following receipt of due diligence information, it may be necessary to request additional information and we respectfully request your help in this matter.

Type of Investors	Category of Due Diligence Necessary
Individual	Category A
Public Company listed on a recognised stock exchange	Category B
Regulated Entity	Category C
Subsidiary of a Public Company	Category D
Private Limited Company	Category E
Limited Partnership	Category F
Limited Liability Company	Category G
Trust	Category H
Foundation (Charity & Community)	Category I
Pension Schemes	Category J
Governments, Supranational Organisations, State-Owned Enterprises & Sovereign Wealth Funds	Category K

Notes on certification of documents:

Certification is a process where, rather than requesting a person to present original evidence of identity directly to IQ-EQ, you are asked to present yourself along with your identity documentation to a “suitable certifier” or Notary, who can confirm the legitimacy of your documents by signing a copy of them.

For verification of Identity (i.e. passport or national identity card), the document should be copied and certified with the wording:

“I certify this to be a true copy of the original document which I have seen and that the photograph is a true likeness of the bearer whom I have met.”

For verification of all other documents, the document should be copied and certified with the wording:

“I certify this to be a true copy of the original document which I have seen.”

The certifier must then:

- Sign the certification statement on the face of the document;
- Date the certification; and
- Provide:
 - I. Full name of the certifier;
 - II. Capacity in which they have certified (including professional membership number of equivalent, as appropriate); and
 - III. At least one contact method (i.e. email/phone/address)

Who can be a suitable certifier?

A suitable certifier can be:

- A director, officer or manager of a regulated financial services business
- A qualified professional (i.e. an accountant)
- A registered lawyer, solicitor, advocate or barrister

In order to be suitable, the certifier should have a professional, rather than personal relationship with the party for whom they are certifying the documents.

CATEGORY A – INDIVIDUAL**1. Verification of identity**

Clear and legible certified true copy of a current passport, driving licence or national identity card (including the picture page and pages detailing legal name and any former name (if applicable), date and place of birth, nationality, date and place of issue, date of expiry and official personal identification number)

2. Verification of address

An original or original certified true copy of the current residential address e.g., a utility bill (not a mobile phone bill), a bank statement, correspondence from central or local government department or agency, commercial or electronic databases, a letter of introduction confirming residential address from (i) a relevant person that is regulated by the GFSC or (ii) a regulated financial services business which is operating in an Appendix C country or territory.

(Note: an address document must have been issued within three months).

3. Completion of the attached Source of Funds Declaration (for individual investors only) and details around overall Source of Wealth.
4. Investor FATCA/CRS Self-Certification form.
5. Confirmation of: -
 - Any additional / former names.
 - Any additional nationalities (if additional nationalities held, passport required for each).
 - Any public positions held (i.e. a position with links to a government agency).
 - Confirmation of occupation and employer.

CATEGORY B - PUBLIC COMPANY LISTED ON A RECOGNISED STOCK EXCHANGE

1. Evidence that the entity is listed on a recognized stock exchange (as per section 7.5 of the Guernsey Financial Services Commission's Handbook on Countering Financial Crime)
2. Certified true copy of the current authorised Signatory list, which should include specimen signatures and signing powers of the signatories.
3. Investor FATCA/CRS Self-Certification form.

CATEGORY C – REGULATED ENTITY

1. Evidence that the entity is regulated in an Appendix C country or territory (as per Appendix C of the Guernsey Financial Services Commission's Handbook on Countering Financial Crime)
2. Certified true copy of the current authorised signatory list, which should include specimen signatures and signing powers of the signatories.
3. Investor FATCA/CRS Self-Certification form.

CATEGORY D - SUBSIDIARY OF A PUBLIC COMPANY ON A REGULATED MARKET OR SUBSIDIARY OF A REGULATED ENTITY, INCLUDING FUNDS WITH A REGULATED INVESTMENT MANAGER AND/OR ADMINISTRATOR

1. An intermediary letter (from the listed / regulated entity, please liaise with the Administrator to obtain a template letter).
2. Evidence of the investor being a subsidiary (wholly owned or majority) of a listed / regulated entity (i.e. Certified copy of the share register and/or latest financial statements of the parent company showing its' subsidiaries)
3. Evidence that the parent company is listed on a recognized stock exchange or regulated in an Appendix C jurisdiction or territory.
4. Certified true copy of the authorised signatory list, including specimen signatures and powers of the signatories (from the party/ies authorised to sign for and on behalf of the investor).
5. Investor FATCA/CRS Self-Certification form.

CATEGORY E - PRIVATE LIMITED COMPANY

1. Certified true copy of the certificate of incorporation (or other similar evidence of existence from an official source).
2. Certified true copy of the memorandum and articles of association.
3. Certified register of directors, which should include full names and addresses of each director.
4. Certified true copy of the share register including all share classes / series, which should include full names and addresses of each shareholder.
5. Certified true copy of the authorised signatories list, including specimen signatures and signing powers of the signatories.
6. Confirmation of any other trading names.
7. Certified structure chart.
8. Completion of the attached Source of Funds Declaration and details around overall Source of Wealth.
9. Investor FATCA/CRS Self-Certification form.

Additional Due Diligence Necessary

Documentation would be required for Directors, shareholders and UBOs with greater than 25% interest (10% if identified as high risk), and Authorised Signatories. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')

CATEGORY F - LIMITED PARTNERSHIPS

1. Certified true copy of the limited partnership agreement, evidencing name, registered office, registered number, general partner, capacity to invest and signature pages (as applicable).
2. Certified true copy of the certificate of registration.
3. Certified true copy of the register of limited partners showing % holdings, which should include full names and addresses of each limited partner.
4. Certified true copy of the authorised signatory list of the general partner, including specimen signatures and signing powers of the signatories.
5. Certified structure chart.
6. Completion of the attached Source of Funds Declaration and details around overall Source of Wealth.
7. Investor FATCA/CRS Self-Certification form.

Additional Due Diligence Necessary

Documentation would be required for the General Partner, Limited Partners and UBOs with greater than 25% interest (10% if identified as high risk), and Authorised Signatories. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')

CATEGORY G – LIMITED LIABILITY COMPANY

1. Certified true copy of the limited liability company agreement.
2. Certified true copy of the certificate of registration.
3. Certified register of managers or managing members
4. Certified true copy of the register of members showing % holdings, which should include full names and addresses of each member.
5. Certified true copy of the authorised signatory list of the general partner, including specimen signatures and signing powers of the signatories.
6. Certified structure chart.
7. Completion of the attached Source of Funds Declaration and details around overall Source of Wealth.
8. Investor FATCA/CRS Self-Certification form.

Additional Due Diligence Necessary

Documentation would be required for the managing members, members and UBOs with greater than 25% interest (10% if identified as high risk), and Authorised Signatories. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')

CATEGORY H - TRUST

1. Certified true copy of an extract from the trust deed (confirming settlor, trustee, beneficiary, and any protector / guardian).
2. Certified copies of any amendments to the trust deed
3. Completion of the attached Source of Funds Declaration and details around overall Source of Wealth.
4. Investor FATCA/CRS Self-Certification form.

Additional Due Diligence Necessary

Documentation would be required for the Trustees, Settlers, Protectors/Guardians, Beneficiaries and Authorised Signatories. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')

CATEGORY I – FOUNDATIONS (CHARITY & COMMUNITY)

1. Certified true copy of the constitutional document (charter and rules or by-laws and mission statement).
2. Certified true copy of the certificate of registration.
3. Certified register of managers or other document confirming the senior managing officials and any other persons who may have control over the account.
4. Certified true copy of the authorised signatory list, including specimen signatures and signing powers of the signatories.
5. Investor FATCA/CRS Self-Certification form.

Additional Due Diligence Necessary

Documentation would be required for the person/s identified as a senior managing official and Authorised Signatories who may execute documentation in relation to the investment. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')

CATEGORY J - PENSION SCHEMES

1. Certified true copy of an extract from the constitutional or formation document (evidencing name, date of establishment / registration, appointment of trustee, address of trustee and signature pages) and confirmation that:
 - a) the scheme is funded by contributions made by an employer or by way of deductions from wages of scheme members; and
 - b) the scheme rules do not permit the assignment of scheme members' interests, except to a spouse or dependent of a deceased member. Such confirmation being provided by one of the following methods:
 - i. written confirmation from the trustee,
 - ii. certified extract from the scheme rules,
 - iii. confirmation of relevant authorities of registration as pension scheme / EBT,
 - iv. other reliable document detailing entity's compliance with criteria.

Or:

Evidence of registration in an equivalent jurisdiction, and:

 - a) certified copy of the scheme particulars.
 - b) document evidencing the governing body or committee's capacity to invest.
 - c) details of the trustee or managers of the pension scheme, which should include full names and addresses of each trustee or managers.
2. Certified true copy of authorised signatory list, including specimen signatures and powers of the signatories.
3. Certified structure chart.
4. Investor FATCA/CRS Self-Certification form.

Additional Due Diligence Necessary

Documentation would be required for the person/s identified as a senior managing official and Authorised Signatories who may execute documentation in relation to the investment. In the case of a personal pension scheme (i.e. for the benefit of an individual or a small group of individuals) we would also request documentation for them. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')

CATEGORY K - Governments, Supranational Organisations, State-Owned Enterprises & Sovereign Wealth Funds
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| <ol style="list-style-type: none">1. Certified true copy of the certificate of incorporation (or other similar evidence of existence from an official source).2. Certified true copy of the by-laws (or equivalent).3. Certified register of directors, which should include full names and addresses of each director.4. Certified true copy of the authorised signatories list, including specimen signatures and signing powers of the signatories.5. Confirmation of any other trading names.6. Certified structure chart.7. Investor Self-Certification for CRS and / or US FATCA form. |
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Additional Due Diligence Necessary

Documentation would be required for the person/s identified as a senior managing official (i.e. Directors of similar) and Authorised Signatories who may execute documentation in relation to the investment. Please refer to the relevant entity type for additional requirements (please note that signatory lists, source of wealth/funds and FATCA/CRS forms are not required for 'associated parties')
