





Open / Closed Ended Funds and Other Similar Entities

| Identification | Verifications | Documents Submitted | Recorded Evidence |
|----------------|--|--|--|
| Customer | <p>Based on the Entity Type, the applicable requirements will prevail. For example, if a GBL entity is operating as a fund, the requirements for a GBL entity will be applicable as well as the below additional requirements</p> <hr/> <p>Prospectus or Corporate Profile or the Private Placement Memorandum, showing class of shares issued, profile of investors & intended investment activities as well as countries where investments will be held and countries in which the fund is planning to invest</p> <hr/> <p>Board Resolution of the Board of Directors to open and operate a bank account with Investec Bank (Mauritius) Limited detailing the currency, list of authorised signatories, online users and card holders and the mode of operation</p> <hr/> <p>Organogram detailing the following related party:</p> <ul style="list-style-type: none"> • The promoter / Fund Sponsor • The Fund Administrator • The Investment Manager • The Investment Advisor – “where applicable” • The Committee Members – “where applicable” <p>The document to be duly signed by the company secretary or Registered Agent or any other professional person (Lawyer, Accountant or Notary)</p> <p>The following declaration must be included: We confirm that the structure chart is accurate and representative of the “Name of the client”</p> <p>Select the most appropriate as per below:</p> <p>Either: There are no nominees within the structure and the actual UBO has been disclosed and verified</p> <p>Or: All nominees have been duly identified with the relevant parties up to the UBO have been identified and verified</p> |     | <p>All documents must be in original or certified as a true copy (with single certification) by a suitable person such as a lawyer, notary, accountant or other professional persons who clearly adds to the copy (by means of a stamp or otherwise) the term “Certified true copy of the original”, date, his name, address, phone number and profession</p> <p>Dual certification is not permissible</p> |

Identification

Verifications

Documents Submitted

Recorded Evidence

Related parties to be KYCed

The requirement should be read in conjunction with the “Professional Intermediary” requirement

Investors

- **Regulated Fund:** Where the fund is regulated and the list of current investors cannot be made available, please fill out the IBM AML/CFT questionnaire
- **Non-Regulated Fund:** Where the fund is Non-regulated, a copy of the AML/CFT questionnaire duly filled in to be submitted at first instance for assessment of the required due diligence requirements

Authorised signatories, online users and card holders operating the bank account

If the management structure of the customer shows a corporate signatory as opposed to an individual signatory/ies, the corporate entity should be verified as well as the individuals authorised to sign on behalf of the entity

Note: In the absence of authorised signatory, the identity of the person who is the senior managing official.

Directors / Controllers of the Fund

If the management structure of the customer shows a corporate director or a corporate signatory as opposed to an individual director/s, the corporate entity should be verified as well as the individuals acting as directors on behalf of the entity

Other related parties “Where applicable”:

- The promoter / Fund Sponsor
- The Administrator
- The Investment Manager
- The Investment Advisor – If assigned and provides binding decisions
- The Committee Members – If assigned and provides binding decisions



Refer to the Tab Related party – Acceptable documents

All documents to be provided duly certified by a professional intermediary (Lawyer, Notary, Accountant, by way of a stamp bearing his name, profession/title, signature and the date

Source of Fund and Wealth

A confirmation of the source of funds and wealth of the customer

Note that documentary evidence/s of the source of fund and wealth might be requested during the course of the onboarding process



The source of fund and wealth confirmation can be in the form of:

- A signed letter from the Client
- An email confirmation

Documentary evidence/s of the source of fund and wealth to be provided duly certified by a professional intermediary (Lawyer, Notary, Accountant, by way of a stamp bearing his name, profession/title, signature and the date Dual certification is not permissible

Origin and destination of the funds passing through the account



Email confirmation

Customer Agreement Forms

Application Forms inclusive of the FATCA/CRS Additional Sheet “where applicable”



Electronically signed version is acceptable