









Professional Intermediaries (Management Companies, Stockbrokers, Fund Managers, Law Practitioners, Accountants, Estate Agents and other professional intermediaries)

Identification	Verifications	Documents Submitted	Recorded Evidence
Intermediary	<p>Full ID & V on the intermediary as per the entity type or individual. If the Intermediary is a GBL entity, the requirements for GBL will prevail</p> <hr/> <p>Copy of relevant licence to operate</p> <hr/> <p>Board Resolution 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>Where funds are co-mingled, the bank should look through the Beneficial Owners. However, if the Professional Intermediary is subject to due diligence standards in respect of its customer base that are equivalent to those that the FI applies, an undertaking from the Intermediary that it has verified the identity of its client and names of its clients and secured particulars of the identity of those clients as well as the source of funds requirements may be obtained</p> <hr/> <p>Where funds held by the intermediary are not co-mingled, but sub accounts are established which can be attributed to each beneficial owner, the financial institution must identify all the Beneficial Owners of the account held by the professional intermediary</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>
Client Undertaking	AML Questionnaire as per approved template		Electronically signed version is acceptable
Related parties to be KYCed	<p>The underlying customer based as per the entity type</p> <p>For example, if the underlying customer is a GBL entity, the requirements for GBL under tab "Corporate GBL" will prevail to the exception of a Resolution to open bank account and application form</p>		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

Identification

Verifications

Documents
Submitted

Recorded Evidence

**Source of Fund
and Wealth**

A confirmation of the source of funds and wealth of the customer and documentary evidence/s of the source of fund and wealth to be provided



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

