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Manhattan Capital

**KNOW YOUR CUSTOMER ("KYC/CIS")**
**AND DUE DILLIGENCE**

## General

In compliance with Anti-Money Laundering Rules we are required to follow Know Your Customer disclosure requirements.

For individuals such as beneficial owners, directors, shareholders and bank signatories we must obtain documents to confirm we have **identified the individual** and **identified the Company**, and **verified their trading and/or residential address**.

Due diligence includes collecting financial information on the customer, including details of wealth and how this has been accumulated. We also require details of the occupation and business experience in certain circumstances such as investment activity.

Please complete as fully as possible. The information collected is held in the strictest confidence.

## Identification

To identify each person and the specific project, we require the following 7 (seven) documents:

1. The attached KYC/CIS form completed and returned.
2. Project Summary, Security Offered.
3. A copy of the Certificate of Company Registration, if the application is for a Company.
4. A list of all shareholders of the Company and their business experience, together with the percentage and amounts of their shareholdings in the Company.
5. One certified[1] true copy of a passport, EU Identity Card or driving license for the signatory of the company. The copy document must be current and bear a recognisable photograph of the individual.
6. Two separate items (not being more than three months old) showing (1) the current trading/registered office address of the Company, and (2) the residential address of the signatory to this KYC/CIS form. Items that are acceptable include but are not limited to: European utility bills, a credit card statement (MasterCard, Visa or Amex) and a bank statement. Any copy document must be certified[1]. Originals sent to us can be returned.
7. One original letter of reference from an officer of a reputable and recognised bank in an approved country, a practising lawyer or a qualified accountant, on their letterhead. The professional referee must have known the person for more than twelve months. A draft letter is attached, which should be transcribed onto the letterhead of the referee.

Copy documentation must be fully legible. Any document presented must be in the English language, if not a full translation must be provided.

## Certification[1]

A certified true copy of the applicant´s passport must be signed, dated and stamped or sealed by an officer of a reputable and recognised bank in an approved country, a notary public, a practising lawyer or solicitor registered with the relevant professional body, Consular Officials, and National or Local Government officials in the course of their official duties.

Suitable wording for the certification of a copy of an identity document bearing a photograph is: "I have met the individual and I confirm this is a true copy of the original document which I have seen".

For documents that verify the residential address suitable wording is: "Certified a true copy of the original document which I have seen".

The certifier must specify his / her full name.

I, the undersigned, understand that I am making this Declaration of Assets for my own protection as well as for the protection of all persons and entities which may be involved in any financial transaction I am, or have been, affiliated with, or am contemplating, with respect to the transfer and/or deposit of cash, securities or other assets (or the transmission of any financial instruments in respect thereof), or the execution and delivery of any documents, agreements or other written instruments in connection therewith, or pursuant thereto.

**CLIENT INFORMATION FORM**

**Please complete all sections**

| | |
|---|---|
| Name of company (Certificate of Company Registration Attached) | |

Section 1 – Know your Customer

| | |
|---|---|
| Title (Mr / Mrs / Ms / Etc) | |
| What is your full name? | |
| Former names, if any | |
| Any other name(s) used | |
| Date of birth | |
| Place of birth | |
| Nationality | |
| Passport Number | |
| Occupation | |
| Qualifications / Business experience | |
| Residential address:<br>This must agree with documentation provided | |
| Correspondence address:<br>If different from residential address | |
| Home telephone | |
| Work telephone | |
| Fax | |
| Mobile | |
| E-mail address | |
| Website | |
| Preferred method of contact | |
| Portion of beneficial ownership if relevant (%) | |

**CLIENT INFORMATION FORM, continued**

**Please complete all sections**

Section 2 – Due Diligence – Details on Assets

| | |
|---|---|
| Please provide detailed information about what this company will be used for including full and specific description of the proposed business activities.. | |
| Please list the countries in which business activities will take place. | |
| Include a list of any significant assets to be transferred to the company | |
| Declared Value of Assets (in USD.) | |
| Please provide details including names and addresses of the main trading partners, if applicable. | |
| It is helpful to an understanding of the business if any sales literature or brochures, business plans, financial forecasts or other information is supplied.<br>Please include a list of disclosed information. | |
| We must identify how the company is funded.<br>Please advise the source / origin of capital and assets to be transferred to the company.<br>Please attach any supporting documentation. (and 3 year history, if available) | |
| Date of commencement of business | |
| Estimated annual turnover | |
| Estimated number of payments into the company per month | |
| Estimated amount of each payment into the company per month | |
| Estimated number of payments out of the company per month | |
| Estimated amount of each payment out of the company per month | |
| Accounting reference date | |

Section 3 - Signatures

| | |
|---|---|
| Signed | |
| Print name | |
| Date | |

**INTERBANK REFERENCE AUTHORITY**

**Completion of this form will enable a reference to be obtained from your bankers**

Section 1 – Personal details

| | |
|---|---|
| Name | |
| Residential address | |
| Country | |
| Post code | |
| Home telephone number | |

Section 2 – Banker's details

| | |
|---|---|
| Bank name | |
| Bank address | |
| Sort code | |
| SWIFT code | |
| Account number | |

Please sign and print your name below to the following authority:

Dear Sir or Madam:

Please accept this as your authority to provide a Bank Reference.

We authorise you to deduct charges from my / our account for providing the reference.

| | |
|---|---|
| Signed | |
| Print name | |
| Date | |

*Money Laundering Abatement and Anti-Terrorist Notification.*

*Under the International Money Laundering Abatement and Anti-Terrorist Financing Act of 2001 (the .Act.), the United States Securities and Exchange Commission and the Department of Treasury may require the Company to take certain action to avoid investments by Prohibited Investors (as defined by the Act). If, following a subscription or an investment, the Company or any of its authorized representatives have reason to believe that the undersigned is a Prohibited Investor (or is otherwise in breach of its obligations, or has made any false representations or provided false identity), the Company may be obligated to freeze the undersigned's capital account, either by restricting all further investments with respect to the undersigned's interest, as well as any income, gains and other allocations related to or associated therewith; declining any redemption or withdrawal requests and/or segregating the assets constituting the undersigned's investment with the Company in accordance with applicable regulations. In such an event, the undersigned shall have no claim against the Company, its managing member, employees, officers, managers, members, affiliates or agents for any form of damages that result from any of the aforementioned actions.*

(I)(We), the undersigned, represent and covenant that neither (myself)(ourselves), nor any person controlling, controlled by, or under common control with, (me)(us) with respect to the contemplated transaction and investment, nor any person having a beneficial interest therein, is a Prohibited Investor, and that (I)(we) (am)(are) not investing or engaged in any transaction, and will not invest or engage in any transaction, on behalf of or for the benefit of any Prohibited Investor. Consent is hereby given to you, and to all parties concerned, to verify all information and to disclose this transaction to financial institutions and law enforcement, as required.

Name of Subscriber:_____

Authorized Signature: _____Date:_____

Print Name and Title (if applicable):_____

**NOTARY**

State of _____)
) ss.
County of _____)

On this _____ day of _____, 2018, before me, _____,
(Name of Notary)

Personally appeared _____,

□ Personally known to me,

□ Proved to me on the basis of satisfactory evidence, to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument, the person or entity upon whose behalf the person acted, executed the instrument.

WITNESS my hand and official seal:

_____
Signature of Notary

**PRO-FORMA PROFESSIONAL REFERENCE**

**Please transcribe <u>onto the professional advisor's stationery</u>**

Dear Sir or Madam:

Re: [Beneficial owners, directors, shareholders and bank signatories name here]

We confirm that the above named client, who is currently resident in [place of residence], has been known to us for [number of years] years. In so far as we are aware, we consider [Beneficial owners, directors, shareholders and bank signatories name here] respectable and honest and know of no reason why they should not be accepted as a client.

This information is given in confidence and without liability on the part of this firm or any partner, director or employee thereof.

Yours faithfully

Professional party signing to print name for identification purposes

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