

## DUE DILIGENCE FORM FOR ENTITIES (COMPANIES/TRUSTS/PARTNERSHIPS)

**BEFORE COMPLETING THIS FORM, PLEASE REFER TO APPENDIX "A" HERETO**

SECTION 1: FORMATION DETAILS	
FOR ALL ENTITIES:	
REGISTERED NAME OF ENTITY:	
TYPE OF ENTITY:	
JURISDICTION OF FORMATION:	
REGISTRATION NO.:	DATE OF FORMATION:
MAIN BUSINESS ACTIVITIES:	

<b>IF A PUBLICLY LISTED (QUOTED) COMPANY:</b>	
Name of Stock Exchange:	Listing symbol:

[illegible]

SHAREHOLDER(S) / ULTIMATE BENEFICIAL OWNER(S)			
NAME / ADDRESS	% HOLDING	NUMBER OF SHARES	NOMINEE SHAREHOLDER YES/NO

For all **Individuals and Ultimate Beneficial Owners (UBOs)** owning more than 5% of the ownership chain complete Due Diligence for Individuals and for any **Corporate Shareholders** in the ownership chain please complete Due Diligence for Entities.

<b>IF A TRUST:</b>
Name & type of settlor(s):
Address of settlor(s):
Nationality of settlor(s):
Occupation of settlor(s):
Name & type of trustee(s):
Name & type of beneficiary(ies):
Address of beneficiary(ies):
Nationality of beneficiary(ies):
Occupation of beneficiary(ies):
For all <b>Individuals and Ultimate Beneficial Owners (UBOs)</b> owning more than 5% of the ownership chain complete Due Diligence for Individuals and for any <b>Corporate Shareholders</b> in the ownership chain please complete Due Diligence for Entities.

<b>IF A PARTNERSHIP:</b>
Name & Address of general partner(s)
Type of general partner(s)
Percentage in partnership of general partner(s)
A <b>general partner</b> is a partner who participates fully in the profits, losses and management of a partnership and who is personally liable (i.e. jointly and severally with other general partners) for the partnership debts.). Please complete Due Diligence for Individuals for each general partner.

## SECTION 2: CONTACT DETAILS

REGISTERED OFFICE ADDRESS:

TELEPHONE NO.:

FAX NO.:

EMAIL ADDRESS:

WEBSITE:

## SECTION 3: BUSINESS ACTIVITIES

Detailed description of Activities (specific details on business activities, services or investments undertaken):

From where is the company funded (Shareholder, related companies, external borrowing, banks, own activities, etc):

Specify the names and jurisdiction of any subsidiaries of the company and describe their activity:

List countries of underlying operations (avoid using terms like Asia, Europe, Worldwide etc):

Specify the sources of revenue of the company from its activities (trading, services, dividends, sale of securities, etc):

Annual turnover including currency:

#### SECTION 4: BANKING DETAILS

Specify the banks with which accounts are held including the currency of the account/s:

State who has access on the bank accounts of the company and please complete Due Diligence for Individuals for every individual who has access.

What is the annual turnover for each bank account (inflows plus outflows)?

What is the annual number of payments and average value per payment?

What is the annual number of receipts and average value per receipt?

Provide details on the expected funds to be deposited this year to the bank account.

Amount, name of bank and country from where the funds will be received:

Name of counterparty sending the funds and anticipated date of payment

State **significant countries** with which transactions are conducted (10% or more of the banking turnover). This includes countries where goods are bought and sold, investments performed and the activity is marketed.

State **main trading counterparties** or proposed trading counterparties with which transactions will be conducted (10% or more of the banking turnover)

SECTION 3: DOCUMENTS CHECKLIST	
<b>IN ADDITION TO THIS FORM, PLEASE SUBMIT THE FOLLOWING DOCUMENTS:</b>	<b>Please check</b> ✓
<b>IF A PUBLICLY LISTED (QUOTED) COMPANY</b>	
Evidence of Listing	
Evidence as to who is authorised to bind the Company	
<b>IF A LIMITED COMPANY</b>	
Memorandum and Articles of Association	
Certificate of Directors/Secretaries	
Certificate of Incorporation	
Certificate of Address	
Certificate of Shareholders	
Certificate of Good Standing	
Certificate of Incumbency	
Most Recent Audited Financial Statements	
Group Structure (where applicable)	
A signed statement listing with regard to the corporate entity:	
<ul style="list-style-type: none"> <li>- Its line of business and principal activities carried out, its products, services etc.;</li> <li>- Its sources of capital;</li> <li>- Where it maintains offices;</li> <li>- Its number of employees;</li> <li>- Its latest annual turnover and profit;</li> <li>- The name and contact details of its auditors, lawyers or other professional advisors</li> <li>- Its telephone &amp; fax numbers, email and website (if any)</li> </ul>	
<b>IF A TRUST</b>	
The Trust Deed	
Certificate of Registration	
<b>IF A PARTNERSHIP</b>	
The Partnership Agreement	
Certificate of Registration	
Evidence of who binds the Partnership	

**All documents submitted must either be in original form or copies certified as true copies of the original by a Notary Public or an Embassy, Consulate or High Commission and Apostilled.**

By signing this form you confirm and declare that:

1. You have not been engaged in or have benefited from criminal conduct in any part of the world and funds which are subject to the proposed arrangement do not wholly or in part directly or indirectly represent the proceeds of criminal conduct.
2. None of the UBOs, nor the settlor or named ultimate beneficiaries of any trust holding a beneficial interest, has, in any part of the world, been involved in any illegal activity, been declared bankrupt or has been a director or otherwise concerned in the management of any company which has been subject to an insolvent liquidation
3. You are unaware of any activities in which the UBO/s engage which lead you to suspect that the beneficial owner/s are involved in money laundering and you undertake to advise you immediately should you become aware of any such activities;
4. Any contributions to or income of the company as share capital or otherwise as shareholders' funds or from external financing or income do not derive from unlawful or immoral sources either in their country of origin or in your country of ordinary residence or in the Republic of Cyprus or any other country in the world;
5. The full identity and address details of the UBO/s may be disclosed to the agent/attorney and/or any bank with which the company has bank account/s and/or the tax authorities and/or the money laundering unit.
6. The information given hereunder and in the documents requested hereby is to the best of your knowledge and belief true and accurate as at the date hereof, and should there be any changes in the information so provided you undertake to promptly advise our law firm of the same in writing.

**Signed:**\_\_\_\_\_

**Full Name:**\_\_\_\_\_

**Capacity:**\_\_\_\_\_

**Date:**\_\_\_\_\_

#### **APPENDIX "A"**

This form must be completed and signed by each entity (not a natural person) who is:

1. Involved in the ownership chain, which begins with the intended owners of the shares in the relevant Cyprus Company and ends with all ultimate beneficial owners leading up to natural person(s) or a publicly quoted company, whether in the capacity of a (i) registered/direct shareholder and/or (ii) intermediate beneficial owner or (iii) ultimate beneficial owner of the Company (if a publicly quoted company)
2. A director or other officer and/or authorized signatory or who will control, manage or direct the management of the Company.

## APPENDIX “B” – TEMPLATE BANK REFERENCE LETTER

[To be typed on the letterhead of the bank]

To: **[Authorised Person performing Due Diligence]**  
Nicosia, Cyprus

**[Date]**

Dear Sirs

Reference for [name and address]

We hereby confirm that Mr/Mrs [name and address] is well known to us for ..... years and in our opinion of good financial standing and trustworthy person in his business obligations.

This is given without any risk, responsibility or any engagement on our part.

.....

(Signed)

[Name and Position]

[Name of bank]

## APPENDIX "C" - TEMPLATE PROFESSIONAL REFERENCE LETTER

[To be typed on the business letterhead]

To: [Authorised Person performing Due Diligence]  
Nicosia, Cyprus

[Date]

Dear Sirs

Reference for [name and address]

I confirm that I have known Mr/Mrs [name and address] for the last [.....] years acting for him/her as a [stage capacity in which you have acted] and also acted for him in relation to [give name of company] and that the above address is the address shown in our records for him.

I confirm that I know him/her to be a person of integrity, honesty and good character and that there is no reason why you should not act on his behalf or provide business services to him/her or [give name of company]. I further confirm that:

- (a) I am not aware that he/she has ever been declared bankrupt in any part of the world or that he has a criminal record in any part of the world, and
- (b) I am not aware that [give name of company] has been declared insolvent or unable to meet its obligations in any part of the world.

In my opinion Mr/Mrs [name and address] would not enter into any transaction which he was unable to complete. I also believe that he/she has legitimate personal funds and that all funds received from him/her or [give name of company] should be bona fide.

Yours truly

.....  
(Signed)

[Professional capacity]

Name and address of firm