



# Individual Questionnaire

## 1. Details of Individual

Title and Full Name

Any former names or other names used

Main residential address

Mailing address (if different)

Number of years resident in principal jurisdiction

Country of domicile

Nationality(ies) (please disclose all)

Do you have, or have you ever held a US green card

Yes  No

Place and county of birth

Date of birth

Contact number(s)

Mobile

Email

Work

Home

Tax regulations require us to collect information about your tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we will be obliged to share information about your financial interests with any relevant tax authority.

Please list all countries in which you are resident for tax purposes, your tax advisor can explain what this means. If you have been given a Tax Identification Number (TIN)(or functional equivalent) by your local tax authority, please provide this. If you are UK resident please provide your national insurance number in place of your TIN otherwise provide some other official registration which will assist us in identifying you.

Country(ies) of Tax Residency

Tax Identification Number

Please note, if you are a US citizen you are treated as tax resident in the US even if you are resident in another country therefore you may be resident in more than one country.



# Individual Questionnaire

## 1. Details of Individual *(continued)*

**Source of wealth details** (include jurisdiction) – please refer to our guidance note, providing a CV and as much detail as possible.

Occupation (please provide full details)

Employer name

Employer address

Source of funds being remitted into the structure (ie specific activity that has generated the funds, include jurisdiction).

Remittance details

Personal bank account

Third party (i.e. investment co, insurance co, employer etc)

Other (please specify)

Value of monies/assets to be settled

Less than £1m

£1m to £10m

£10m to £20m

Over £20m



# Individual Questionnaire

## 2. Professional Contacts

### Lawyer

Name of Contact

Name of Firm

Address

Telephone

E-mail

### Tax Advisor

Name of Contact

Name of Firm

Address

Telephone

E-mail

### Banker

Name of Contact

Name of Firm

Address

Telephone

E-mail



## Individual Questionnaire

### 3. Declarations

- a) Have you ever been declared bankrupt or its equivalent or been the subject of a judicial enquiry or been a director of or otherwise concerned in the management of a company which has been subjected to an insolvent liquidation in any part of the world? Is there any such action in progress or pending? Have you any known present or future creditors who may legally have a claim upon your estates? Yes  No

If Yes, please give details

- b) Have you ever been convicted of any financial or fraudulent offence? Is there any legal action in progress or pending? Yes  No

If Yes, please give details

- c) Have you ever been subject to any regulatory sanctions? Is there any regulatory action in progress or pending? Yes  No

If Yes, please give details

- d) Are you a Politically Exposed Person (PEP), i.e. an individual who is or has been entrusted with a prominent public function, or are you an immediate family member or close associate of such person? (Please see notes below for examples of such functions). Yes  No

If Yes, please state brief description of the PEP function, relationship, or association

**Politically Exposed Persons ('PEP') definition:** A PEP is considered to be an individual who is or has been entrusted with a prominent public function or international organisation, for example:

- Head of State, head of government, senior politician or party official.
- Senior government, judicial or military official.
- Senior executive of state owned corporation.
- Immediate family would include:
  - o Spouse/partner
  - o Children and their spouses or partners
  - o Parent or parent-in-law
  - o Siblings/siblings-in-law/half/step
  - o Grandparents or grandchildren.
- Close associate may include:
  - o A person who is widely known to maintain a close business relationship with a PEP
  - o A person who is in a position to conduct financial transactions on behalf of a PEP.
- The above list is not exhaustive. If you are in doubt as to whether you fall within a PEP definition please provide additional information to us for consideration.

I certify that the information provided in this questionnaire is complete and accurate. I undertake to meet my obligations to Oak fully and promptly and acknowledge that I undertake to ensure that the business to be undertaken by the Company will not bring Oak into disrepute. I undertake to ensure that no transactions will be entered into by or on behalf of the company until Oak advises me that Oak has completed its compliance checks, the proposed company has been incorporated and is in a position to commence trading.

Signed by

Name (in capitals)

Dated



# Individual Questionnaire

## 4. Requirements

In respect of each individual we require:

### Verification of identity – Passport/National Identity Card

Use the next page to submit a certified copy, noting that national identity documents must contain both the front and back of card.

- The identity document should be valid and include issue and expiry dates.
- The copy should be clear with all features including unique reference number, place of issue and Machine Readable Code (MRZ) visible.
- Country of birth and nationality details included.

### Verification of address – Residential address

An original or certified true copy of the following are considered acceptable to verify the residential address and must include the full address. All documents must be translated into English.

- A bank or credit card statement (dated within the last 3 months).
- Utility bill (dated within the last 3 months, mobile phone bills are not acceptable).
- Valid full drivers licence issued by the UK, Crown Dependencies or by an EU member state (must show current address).
- If you do not have an above document please contact us to discuss.

### Acceptable Certification Wording and Certifiers

**Identity** – “I certify this to be a true copy of the original document that I have seen and the photograph is a true likeness of the individual I have met”.

**Address** – “ I certify this to be a true copy of an original document that I have seen”.

### Acceptable Certifiers

- Lawyer, Solicitor or Advocate who is a member of a recognised professional body.
- Accountant who is a member of a recognised professional body.
- Senior officer of a Bank or another regulated/licensed Financial Services Business which is based in a well regulated equivalent jurisdiction.
- British Consular official.

### Certifier Information must include the following information:

- Full name and signature.
- Date of certification.
- Job title/position or capacity in which they are signing.
- Name of regulatory body (if applicable i.e ACCA, FSA, Law Society).
- Registration number issued by regulatory body (if applicable).
- Contact information.

Where a certifier listed above is based in a high risk jurisdiction, further consideration will be given on a risk based approach in order to determine if the certifier and/or certification is suitable. Oak reserves the right to determine suitability of any documents provided.

Place identity document face down on the photocopier then place this form over the top with the identity document here. Please now take a copy and complete your details below

I hereby certify this is a true copy of the original document which I have seen and that the photograph bears a true and complete likeness of the individual concerned, whom I have met. In addition, to my knowledge, the document does not appear to have been altered in any way.

Certifier's signature:

Date of Certification  /  /

Certifier's full name:

Position/Capacity:

Name of Regulating Body and Registration Number issued by the Regulating Body:

Contact Information:

Stamp/Seal of Person Certifying:



## Individual Questionnaire

### 5. Checklist

Please tick to confirm the following before sending the application

<b>Individual Questionnaire</b> Ensure page 1 of the Individual Questionnaire is fully complete including Tax Identification Number (TIN). Individual Questionnaire fully complete and signed.	<input type="checkbox"/>
<b>Copy of tax advice</b> Letter of Authority to provide Oak with the ability to correspond directly with the appointed Tax Advisor.	<input type="checkbox"/>
<b>Curriculum Vitae</b> Curriculum Vitae including all position(s) held and all jurisdiction(s) involved. For Mauritius applications the CV should be in original, duly signed format.	<input type="checkbox"/>
<b>Source of Wealth</b> SoW supporting documents as detailed in our SoW guidance note: <a href="http://www.oak.group/downloads">www.oak.group/downloads</a>	<input type="checkbox"/>
<b>Verification of identity</b> Certified copy of current identity document.	<input type="checkbox"/>
<b>Verification of address</b> An original or certified true copy document verifying the full residential address.	<input type="checkbox"/>

#### Additional Information

### 6. Data Protection

We may use the information you send us together with other information, which comes from or relates to you, to discharge our functions effectively. This may include us sharing the information we hold about you with other bodies, such as regulators and law enforcement agencies, some of whom may be located outside of The Crown Dependencies, Mauritius and the European Economic Area. Data Protection legislation provides you with various rights, including the right to ask for a copy of the information we hold on you, and the right to have inaccuracies corrected. To better understand your rights and how we handle your information, we would encourage you to read our Privacy Notice; or to contact the Data Protection Officer on [dataprotection@oak.group](mailto:dataprotection@oak.group).