

Requirements for Opening a Fixed Income Relationship

Due Diligence Information Requirements

As part of our requirements, FidBank UK utilises the Wolfsberg Principles as the standard for industry best practice regarding the information that should be submitted in support of an application for establishing a relationship with us.

Please note that while these are our standard due diligence information, the institution may be requested to provide further information based on their risk profile:

1. Domicile and Organisation

- Certificate of Incorporation
- Memorandum and Articles of Association
- Regulatory License
- Address of the Head Office
- FACTA status- W-8 Ben E Form
- LEI Number.
- Standard Settlement Instructions (SSIs)

2. Ownership and Executive Management

- Latest Audited Financial Annual Report
- Names and Title of Key Personnel - Board of Directors, Chief Executive and Chief Financial Officer, Chief Operations Officer
- Names and ID of UBO and Significant Shareholders with 10% holdings and above
- Details of the Parent company, if applicable, then provide an organisation structure diagram
- Authorised Signature List

3. Types of Businesses

- Overview of the Products and Services the Applicant Bank provides

4. Anti-Money Laundering Controls

- A Completed Copy of the Wolfsberg Questionnaire (CBDDQ) for client (agency) business or FCCQ for only proprietary business **OR**
- Completion of FidBank Professional Firm AML Questionnaire
- A Copy of the AML Policies and Procedures
- Name and Contact Details of the Compliance Officer

Please note:

Certain items of information may be contained within the institution's Annual Report. If it is contained within the Annual Report, the information does not need to be duplicated.