

LIST OF VALID KYC DOCUMENTS ACCEPTED BY AMICORP FOR VARIOUS TYPE OF ENTITIES, AND INDIVIDUALS



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* Definition of Ultimate Beneficial Owner (UBO)

Ultimate beneficial owner (UBO) means the natural person who ultimately owns or controls the customer or on whose behalf a transaction or activity is being conducted and includes but is not restricted to:

- a) In the case of a legal person other than a company whose securities are listed on a recognized stock exchange, a natural person who ultimately owns or controls, whether through direct or indirect ownership or control, 10% or more of the shares or voting rights in the legal person;
- b) In the case of any legal person, a natural person who otherwise exercises ultimate effective control over the management of the legal person; or
- c) In the case of a legal arrangement, the trustee or other person who exercises ultimate effective control over the legal arrangement.

Certification of KYC documents could be done by any one below:

-) An Amicorp employee (in his / her physical presence)
-) Professionals such as solicitors / lawyers / notary public / accountants
-) Regulated persons such as any individual / entity licensed OR approved by the government / financial regulator of an approved jurisdiction
-) Embassy / consular staff / police officers of the country of citizenship of the investor, and
-) Internationally known / reputable accounting or law firm.

APPROVED JURISDICTIONS

Argentina, Australia, Brazil, Canada, Hong Kong, China, Iceland, India, Japan, Kingdom of the Netherlands, Mexico, New Zealand, Norway, Singapore, South Africa, Sweden, Switzerland, Turkey, United Kingdom, United States.

European Commission (Member States are:) Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain

Gulf Co-operation Council (Member states are:) Bahrain, Kuwait, Oman, Qatar, Saudi Arabia
United Arab Emirates

NON-APPROVED JURISDICTIONS

All other jurisdictions

PARTNERSHIP/ LLC

VALID KYC DOCUMENTS

**ADDITIONAL DOCUMENTS REQUIRED FOR
SUBSCRIPTION MONEY ORIGINATING FROM
NON-APPROVED JURISDICTION**

| | | | | | |
|---|-----------------------------------------------------------------------------------------------|--|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1 | Certified True Copy of Partnership Agreement / Operating Agreement for LLC. | | 1 | Certified Identity and KYC documents of shareholders up to and including UBO* level or listed company level. For all individual shareholders holding more than 10% or non-individual shareholders holding more than 25% of the issued shares. | |
| 2 | Dated Authorized Signatory List with specimen signatures. | | 2 | Certified Identity and KYC documents of the General Partner. | |
| 3 | Certified True Copy of Proof of Registered Office address (not older than 3 months). | | | | |
| 4 | Structure Chart dated and signed by General Partner up to and including individual UBO level. | | | | |
| 5 | Certified Identity and Address proof of the UBO*. | | | | |
| 6 | Source of Fund Declaration | | | | |
| 7 | SWIFT Message (MT103) / its equivalent | | | | |

Please tick the provided documents:

CORPORATE ENTITIES / FINANCIAL INSTITUTION

| VALID KYC DOCUMENTS | | | ADDITIONAL DOCUMENTS REQUIRED FOR SUBSCRIPTION MONEY ORIGINATING FROM NON-APPROVED JURISDICTION | | |
|---------------------|-----------------------------------------------------------------------------------------|--|-------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1 | Certified True Copy of Certificate of Incorporation. | | 1 | Certified Identity and KYC documents of all shareholders and including up to UBO* level or listed company level for all individual shareholders holding more than 10% or non-individual shareholders holding more than 25% of the issued shares. | |
| 2 | Certified True Copy of Register of Members / Shareholders. | | 2 | Certified Identity and KYC documents of all directors, including individual and non - individual. | |
| 3 | Certified True Copy of Register of Directors. | | | | |
| 4 | Certified True Copy of Memorandum and Articles of Association. | | | | |
| 5 | Bloomberg Extract / Stock Exchange Search Directory, If any | | | | |
| 6 | Dated Authorized Signatory List with specimen signatures. | | | | |
| 7 | Certified True Copy of Proof of Registered Office address (not older than 3 months). | | | | |
| 8 | Structure Chart dated and signed by directors and including up to individual UBO level. | | | | |
| 9 | Certified Identity and Address proof of the UBO*. | | | | |
| 10 | Source of Fund Declaration. | | | | |
| 11 | SWIFT Message (MT103) / its equivalent. | | | | |

Please tick the provided documents:

FINANCIAL INSTITUTION (CUSTODIAN / NOMINEE)

| VALID KYC DOCUMENTS | | | ADDITIONAL DOCUMENTS REQUIRED FOR SUBSCRIPTION MONEY ORIGINATING FROM NON-APPROVED JURISDICTION | | |
|---------------------|--------------------------------------------------------------------------------------------------------------------------|--|-------------------------------------------------------------------------------------------------|-----|--|
| 1 | Certified True Copy of Certificate of Incorporation. | | 1 | N/A | |
| 2 | Certified True Copy of Memorandum and Articles of Association. | | | | |
| 3 | Bloomberg Extract / Stock Exchange Search Directory, If any | | | | |
| 4 | Dated Authorized Signatory List with specimen signatures. | | | | |
| 5 | Certified True Copy of Proof of Registered Office address (not older than 3 months). | | | | |
| 6 | Structure Chart dated and signed by directors and including up to individual controlling person. | | | | |
| 7 | Certified Identity and Address proof of the controlling person of nominee/custodian. | | | | |
| 8 | Source of Fund Declaration. | | | | |
| 9 | SWIFT Message (MT103) / its equivalent. | | | | |
| 10 | AML comfort letter from the Custodian / Nominee stating that they perform KYC due diligence on their Underlying clients. | | | | |

Please tick the provided documents:

INVESTMENT FUND

VALID KYC DOCUMENTS

ADDITIONAL DOCUMENTS REQUIRED FOR SUBSCRIPTION MONEY ORIGINATING FROM NON-APPROVED JURISDICTION

| | | | | | |
|----|-----------------------------------------------------------------------------------------------------------|--|---|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1 | Certified True Copy of Certificate of Incorporation. | | 1 | Certified Identity and KYC documents of all management shareholders/general partner and including up to UBO* level or listed company level for all individual shareholders holding more than 10% or non-individual shareholders holding more than 25% of the issued shares. | |
| 2 | Certified True Copy of Register of Members / Shareholders (having management / voting shares). | | 2 | Certified Identity and KYC documents of all directors, including individual and non-individual. | |
| 3 | Certified True Copy of Register of Directors. | | | | |
| 4 | Certified True Copy of Memorandum and Articles of Association. | | | | |
| 5 | Dated Authorized Signatory List with specimen signatures. | | | | |
| 6 | Certified True Copy of Proof of Registered Office address (not older than 3 months). | | | | |
| 7 | Dated and signed Structure Chart up to fund level along with the Fund PPM. | | | | |
| 8 | Certified Identity and KYC documents of all directors, including individual and non-individual. | | | | |
| 9 | Source of Fund Declaration. | | | | |
| 10 | AML comfort letter from Administrator (mandatory if admin is appointed) / Fund Director/ General Partner. | | | | |
| 11 | SWIFT Message (MT103) / its equivalent. | | | | |

Please tick the provided documents:

| TRUST | | | | | |
|---------------------|--------------------------------------------------------------------------|--|-------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|--|
| VALID KYC DOCUMENTS | | | ADDITIONAL DOCUMENTS REQUIRED FOR SUBSCRIPTION MONEY ORIGINATING FROM NON-APPROVED JURISDICTION | | |
| 1 | Trustee Undertaking Letter | | 1 | Certified Trust Deed. | |
| 2 | Identity and Address proof of the UBO*. | | 2 | Certified Trustee's license / Registered address proof. | |
| 3 | Dated Authorized Signatory List with specimen signatures of the trustee. | | 3 | Certified Identity and KYC documents of the individual trustee. | |
| 4 | Source of Fund Declaration. | | 4 | List of Directors of Trustee, if any | |
| 5 | SWIFT Message (MT103) / its equivalent. | | 5 | Certified Identity and KYC documents of all directors, including individual and non - individual. | |

Please tick the provided documents:

PRIVATE FOUNDATION

VALID KYC DOCUMENTS

ADDITIONAL DOCUMENTS REQUIRED FOR SUBSCRIPTION MONEY ORIGINATING FROM NON-APPROVED JURISDICTION

| | | | | | |
|---|-----------------------------------------------------------|--|---|---------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 1 | Foundation Charter. | | 1 | Certified Regulations of the Foundation. | |
| 2 | Identity and Address proof of the Founder. | | 2 | Certified Foundation legal documents such as Articles of Incorporation / Bylaws / Membership committee charter / Organizational meeting of board. | |
| 3 | Identity and KYC documents of all Council Members. | | | | |
| 4 | Dated Authorized Signatory List with specimen signatures. | | | | |
| 5 | Source of Fund Declaration. | | | | |
| 6 | SWIFT Message (MT103) / its equivalent. | | | | |

Please tick the provided documents:

INDIVIDUALS

| | VALID KYC DOCUMENTS | IDENTITY PROOF | ADDRESS PROOF |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|------------------------------|
| 1 | Certified True Copy of Identity and Signature Verification (any one from below) <input type="checkbox"/> Passport <input type="checkbox"/> National ID Card <input type="checkbox"/> Driver's License (with photograph) * No older than 3 months | Yes Yes Yes | Yes * Yes * Yes * |
| | Certified True Copy of Residential Address Verification not older than 3 months (any one from below) <input type="checkbox"/> Utility bill (Electricity / Gas / Water/ Telephone) <input type="checkbox"/> Bank statement / Statement issued by a regulated Financial Institutions <input type="checkbox"/> Correspondence from local government / tax authority <input type="checkbox"/> Motor / Insurance Certificates | No No No No | Yes Yes Yes Yes |
| 3 | SWIFT Message (MT103) / its equivalent | - | - |
| 4 | Source of Fund Declaration | - | - |