



Introducer Certificate

Please complete the following form and email to info@skiptoninternational.com

Name of Accepting Business

Name of Introducer

Account Name (in full)

Details of Associated Account(s)
(which are part of the same structure)

Introducer's Contact Details

Full Address

Telephone

Email

The Introducer certifies that it is an Appendix C business and in respect of this account it has obtained and holds the identification data required to satisfy the Handbook on Countering Financial Crime and Terrorist Financing ("the Handbook") issued by the Guernsey Financial Services Commission, as updated from time to time.

The information disclosed for this account by the Introducer accurately reflects the information held and is being given for account opening and maintenance purposes only. The Introducer undertakes to keep the accepting business apprised of any changes to the information contained within this certificate and to supply certified copies or originals of the identification data upon request without delay.

Signature

Signature

Full Name

Full Name

Official Position

Official Position

Date

Date

Please indicate the number of supplementary pages being submitted:

IC2

IC3

IC4

Introducer Certificate



IC2

Identification Information

Name of Introducer

Account Name (in full)

1. To be completed for applicants for business who are individuals or partners in a partnership only.

(Please complete Sections 1 and 3 below and attach additional copies of this sheet (IC2) as required)

	1	2
Full Name		
Any other name(s) used <small>(Including former name, e.g maiden name)</small>		
Nationality <small>(Including all nationalities held)</small>		
Date of birth		
Place of birth		
Tax Number		
Occupation <small>(Including name of any employer where applicable)</small>		
Current residential address <small>(Including postcode, a PO Box only address is insufficient)</small>		
Does the Introducer consider the individual to be, or to be associated with, a PEP?	Yes No	Yes No
Jurisdiction(s) and/or international organisations associated with any political function or connection		

2. To be completed for applications for business who are companies, partnerships, trusts or foundations.

(Please complete Sections 2 and 3 below and attach additional copies of this sheet (IC2) as required)

Date of incorporation/registration/settlement		
Registration number <small>(if applicable)</small>		
Place of incorporation/registration <small>(if applicable)</small>		
Current registered office address/ or address of trustees		
Date of establishment <small>(if unincorporated/unregistered)</small>		
Legal jurisdiction <small>(if unincorporated/unregistered)</small>		
Type of trust/foundation/company		
Is it a trading entity?	Does it have bearer shares or bearer warrants?	Does it have nominee shareholders?
Yes No	Yes No	Yes No



3. To be completed for all applicants for business

Nature of activities or purpose and intended nature of business relationship or occasional transaction
(please provide a full description)

For all foreign PEP relationships and high risk relationships:
Source of any funds and source of the wealth of the customer and any beneficial owner who is a PEP¹
(including the period over which this has been derived)

Account activity

¹ At the discretion of the accepting business it may be appropriate for information on the source of any funds and the source of wealth to be provided for relationships other than high risk or relationships domestic PEPs or international organisation PEPs.

Introducer Certificate

IC3



Related Parties

Name of Introducer

Account Name (in full)

Details of all principal(s) (see IC5 for definition) including beneficial owners¹ and excluding officers of the Introducer.

(Please complete the section below and attach additional copies of this sheet as required)

	No.	No.
Full Name		
Any other name(s) used (Including former name, e.g maiden name)		
Nationality (Including all nationalities held)		
Date of birth		
Place of birth		
Tax Number		
Occupation (Including name of any employer where applicable)		
Current residential address (Including postcode, a PO Box only address is insufficient)		
Does the Introducer consider the individual to be, or to be associated with, a PEP?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Jurisdiction(s) and/or international organisations associated with any political function or connection		

Yes	No
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	No.	No.
Full Name		
Any other name(s) used (Including former name, e.g maiden name)		
Nationality (Including all nationalities held)		
Date of birth		
Place of birth		
Tax Number		
Occupation (Including name of any employer where applicable)		
Current residential address (Including postcode, a PO Box only address is insufficient)		
Does the Introducer consider the individual to be, or to be associated with, a PEP?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Jurisdiction(s) and/or international organisations associated with any political function or connection		

Yes	No
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¹Other than the beneficial owners of a corporate trustee which is licensed by the Commission.

Introducer Certificate

IC4



Additional Information

Name of Introducer

Account Name (in full)

This section is to be used by the specified business to identify any additional information or documentation that it requires over and above the stated minimum and/or for the Introducer to provide additional information to supplement the details contained in IC1, IC2 and/or IC3.

Notes and Guidance

These notes and the definitions below are intended to assist the Introducer in completing the required forms and to enable greater consistency to be achieved.

Term	Definition
Associated accounts	Refers to an account with the same specified business where any of the principals are connected with an account in the same group or structure.
Account activity	An estimate of the total flow of funds in and out of the account should be provided. An estimate of the expected maximum account turnover should also be provided. For a trading operation, the scale and volume of transactions should be explained.
Bearer shares	Where bearer shares are subsequently issued (after the opening of the account) such that the “Yes” box needs ticking in IC2, an updated form should be supplied to the accepting specified business without delay.
Certified copy	An officer or authorised signatory of a regulated financial services business will be an acceptable certifier. An acceptable ‘certified copy’ document should be an accurate and complete copy of the original such that the certifier will sign and date the copy document printing his position, capacity and company name.
Government issued personal identification number	Includes government issued personal identification number, for example a social security/ national insurance number, or other government issued unique identifier, for example a passport or driving licence number.
Handbook	The Handbook on Countering Financial Crime and Terrorist Financing issued by the Guernsey Financial Services Commission, as updated from time to time.
Introducer	Is an Appendix C business (see definition in the Handbook).
Nature of activities or purpose and intended Nature of business relationship	A sufficient description should be provided to enable the accepting specified business to properly categorise the underlying nature of the arrangements. If the activity is of a commercial nature, then additional information may be required.
PEP	A Politically exposed person, and includes such a person within the Bailiwick (domestic PEP) or any other jurisdiction (“foreign PEP”), as well as a person appointed with a prominent function by an international organisation. Further details about each can be found within Chapter 8 of the Handbook. The jurisdiction(s) associated with an individual’s political exposure, either by a position held or any connection with a PEP, should also be provided.
Principal	Includes any person or other entity that has or is likely to receive a benefit in the foreseeable future or who the Introducer customarily treats as having an economic interest.
Role	This might include, for example, a beneficial owner, a shareholder, beneficiary, settlor, partner, etc.
Signatory	The General Introducer Certificate will need to be signed or initialled (where appropriate) in line with the Introducer’s current mandate/authorised signatory list held with the accepting specified business.
Source of wealth	The origins of the wealth of the customer and any beneficial owner who is a PEP (and over what period) should be identified. Generally, simple one word answers will be unacceptable, for example, ‘income’, ‘dividends’, ‘Bill Smith’, or ‘work’. A brief description to give a fuller picture is expected, for example, ‘sale of UK private company in 1997’, ‘life time savings of settler who was a doctor’, ‘inheritance from parents’ UK estate’ and ‘UK property development over the last 10 years’.
Specified business	A financial services business or a prescribed business in the Bailiwick of Guernsey.
Trading	Implies commercial activity which may include a business, invoicing or re- invoicing operations. For clarity, a ‘trading company’ does not include a personal service/ employment company.