

ACCOUNT OPENING CHECKLIST FOR FUND

BRN: C07040612

Mandatory Documents

No.	Document Description	Comments
1	Account Opening Pack duly signed including:	
	(a) Account opening form	<input type="checkbox"/>
	(b) Specimen signature card duly authenticated ³	<input type="checkbox"/>
	(c) Internet banking form & Internet Banking Resolution (if applicable)	<input type="checkbox"/>
	(d) Eligible Introducer Certificate (if applicable)	<input type="checkbox"/>
	(e) CRS Form (for both entity & controlling person wherever applicable)	<input type="checkbox"/>
	(f) FATCA Form (for both entity & controlling person wherever applicable)	<input type="checkbox"/>
	(g) Call Back Disclaimer Form (including list of authorised person to communicate with the Bank as per section C)	<input type="checkbox"/>
	(h) Security Questionnaires on authorised call back nominees	<input type="checkbox"/>
	(i) Company's Factsheet including Structure Chart	<input type="checkbox"/>
	(j) Declaration of Ultimate Beneficial Owner (UBO) Form (where applicable)	<input type="checkbox"/>
	(k) Source of Wealth Declaration Form ⁴	<input type="checkbox"/>
2	Certificate of Incorporation or E-Certificate of Incorporation	<input type="checkbox"/>
3	Certificate of change of name (if applicable)	<input type="checkbox"/>
4	Duly signed register of directors dated less than 1 year	<input type="checkbox"/>
5	Duly signed register of shareholders dated less than 1 year	<input type="checkbox"/>
6	Memorandum & Articles of Association or Constitution (if applicable)	<input type="checkbox"/>
7	Private Placement Memorandum	<input type="checkbox"/>
8	Global Business Licence (if incorporated in Mauritius), or any other relevant Licence	<input type="checkbox"/>
9	Renewed FSC Licence (updated to be provided where applicable)	<input type="checkbox"/>
10	Proof of Fund's Registered address & Mailing Address	<input type="checkbox"/>

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11	Board Resolution authorising its signatories to open and operate the account	<input type="checkbox"/>	<input type="text"/>							
12	Acceptable Letter for due diligence carried out on investors (Example from the Administrator or Investment Manager or Advisor - whichever carries out Customer Due Diligence)	<input type="checkbox"/>	<input type="text"/>							
13	Evidence for:									
	(a) Source of Wealth of the Fund ⁴	<input type="checkbox"/>	<input type="text"/>							
	(b) Source of Fund	<input type="checkbox"/>	<input type="text"/>							
14	Latest Financial Statements/ Audited Accounts (if incorporated for more than 18 months)	<input type="checkbox"/>	<input type="text"/>							
15	KYC Documents on Individual:	Authorised Signatory (ies)	Director(s)	Investment Manager	Asset Manager	Advisor	Administrator	Promoter	Investor (>=20% interest)	
	(a) Valid Passport or NIC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	(b) Proof of Address dated less than 3 months old	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	(c) Bank or Professional Reference Letter			<input type="checkbox"/>	<input type="checkbox"/>					
	(d) Detailed CV			<input type="checkbox"/>	<input type="checkbox"/>					
16	KYC Documents on Corporate:		Director(s)	Investment Manager	Asset Manager	Advisor	Administrator	Promoter	Investor (>=20% interest)	
	(a) Certificate of Incorporation or E-Certificate of Incorporation		<input type="checkbox"/>							
	(b) Certificate of change of name (if applicable)		<input type="checkbox"/>							
	(c) Memorandum & Articles of Association or Constitution (if applicable)		<input type="checkbox"/>							
	(d) Certificate of Good Standing or Incumbency (for companies incorporated more than 1 year)		<input type="checkbox"/>							
	(e) Renewed FSC Receipt (updated to be provided where applicable)		<input type="checkbox"/>							
	(f) Proof of Company's registered address		<input type="checkbox"/>							
	(g) Duly signed register of directors dated less than 1 year		<input type="checkbox"/>							
	(h) Duly signed register of shareholders dated less than 1 year		<input type="checkbox"/>							

- Notes:
- Based on a Risk based approach, additional documents may be requested.
 - All documents need to be Dated, Signed, Certified True Copies or Originals.
 - Documents can be certified / Specimen Signatures authenticated by Management Companies or Consulates or Notaries or Lawyers or Solicitors with an Apostille or other Professional Persons duly regulated such as FCCA holders (with their full name, address, occupation and registration number affixed by means of a stamp or otherwise and clearly visible).
 - Source of Wealth of the Fund will depend on the Fund structure. The Bank may request for the investor list or info on any particular investor at any point in time through the GP/Fund Administrator/Investment Manager/Asset Manager.