

Private Individual from an FCA Regulated Firm

Please use BLOCK CAPITALS.

1 Details of individual (see explanatory notes, section 4)

Full name of customer

Address

Postcode

Previous address if customer has changed address in the last three months

Postcode

Date of birth

2 Confirmation

I/we confirm that

- (a) the information in section 1 above was obtained by me/us in relation to the customer;
- (b) the evidence I/we have obtained to verify the identity of the customer: [tick only one]

Meets the guidance for standard evidence set out within the guidance for the UK financial sector issued by JMLSG;

or

Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

Signed

Name

Position

Date

3 Details of introducing firm (or sole trader)

Full name of regulated firm
(or sole trader)

FCA reference number

4 Explanatory notes

1. A separate confirmation must be completed for each customer (for example joint holders, trustee cases and joint life cases). Where a third party is involved, for example a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.
2. This form cannot be used to verify the identity of any customer that falls into one of the following categories:
 - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
 - those whose identity has not been verified by virtue of the application of a permitted exemption under the money laundering regulations; or
 - those whose identity has been verified using the source of funds as evidence.
3. This confirmation must carry an original signature, or an electronic equivalent.