

Source of Wealth

**Source of Wealth describes the activities which have generated the total net worth of a person both within and outside a business relationship, that is, those activities which have generated a client's net assets and property.*

(Section A mandatory)

1) Entity Structure (please select applicable category)

Individual ☐ Corporate ☐ Trust ☐ Pension ☐ Charity ☐ Sovereign Wealth ☐ Partnership ☐ LLC ☐ Other ☐

If Other please state: _____

2) Clients Net worth

An estimate of the client's total net worth
(Please indicate currency)

3) Nature of Business

Please state nature of business:

Section B – (Required Information – please complete the relevant section for your chosen entity type and indicate the document attached).

Individuals

☐ Yes ☐ N/a

Curriculum Vitae (CV)

☐ attached

Or

Career history

☐ attached

or

Other (please specify) _____

☐ attached

Corporates / LLC / Charities/ Partnerships/ Other

☐ Yes ☐ N/a

Copy of audited financials / company accounts

☐ attached

Trusts / Pensions

☐ Yes ☐ N/a

(Please refer to applicable individual / corporate requirements for settlor / controller)

Sovereign Wealth

☐ Yes ☐ N/a

Copy of audited financials / company accounts

☐ attached

Or

Indicate public source for independent verification of equivalent document _____

Declaration

I hereby declare that the funds used to fund my investment with you originate as per the information given above, and are made on my own behalf and are not on behalf of a third party.*

*We may seek to independently validate the declaration / request supporting documentation.

Fund Name: _____

Applicant Name: _____

Signature: _____

Printed Name: _____

*Signature of Applicant/ Signature of Designated Body
on behalf of applicant*

Designated Body/ Licence number (if applicable): _____ Date: _____

Source of Funds Declaration

Note: If an approved designated body supplies supporting documentation to confirm the source of funds from their underlying investor, BNPAS can accept a signed Source of funds declaration from the designated body as opposed to receiving this from the underlying investor. The designated body may seek to independently validate the declaration by requesting supporting documentation.

***Source of Funds refers to how the money to be invested was generated (origin) and the means of transfer.**

Please indicate the source of funds to be invested:

Investor Name: *[to be completed]* _____

Address: *[to be completed]* _____

Account number: *[to be completed]* _____

I hereby confirm that the investment into *[insert fund name]* _____

Originated from:

Please complete applicable section

A) Employment Income ☐ Yes ☐ N/a

- ¹Job Description: _____
- ¹Nature of Employer's business _____

B) Inheritance ☐ Yes ☐ N/a

- ¹Nature of Employer's business _____
- ¹Relation to benefactor _____
- ¹Date inheritance received _____
- ¹Amount received _____

C) Sale of Real Estate ☐ Yes ☐ N/a

- ¹Date property was sold: _____
- ¹Sale Amount: _____

D) Sale of Securities/ Investment ☐ Yes ☐ N/a

- ¹Type of security: _____
- ¹Date of sale: _____
- ¹How long investment(s) were held: _____

E) Other ☐ Yes ☐ N/a

Please specify: _____

- ¹Other types of source of funds include the following:
- ¹Loans received. Copy of Loan Agreement duly certified by a suitable persons maybe requested
- ¹Gifts received. Letter from donor confirming details of gift and acknowledging source of donated funds. maybe requested.
- ¹Competition or gambling win. Letter from relevant organisation (Betting office, Casino) or copy of media coverage if appropriate maybe requested.
- ¹Compensation payment. Letter / court order from compensating body or solicitor's letter maybe requested.
- ¹Company profits. A copy of a dividend statement maybe requested.
- ¹Maturing investments or encashment claim. A letter/ contract note from previous investment company giving notification of proceeds to be provided may be requested.
- ¹Sale of a company or sale of an interest in a company. A signed letter from a solicitor, or accountant, or copies of media coverage if applicable maybe requested.
- ¹For Sovereign Wealth Funds, certified copy of audited financials or appropriate on line back up maybe requested.

Declaration

I hereby declare that the funds used to fund my investment with you originate as per the information given above, and are made on my own behalf and are not on behalf of a third party.

¹We may seek to independently validate the declaration by requesting supporting documentation.

Fund Name: _____ Applicant Name: _____

Signature: _____

Signature of Applicant/ Signature of authorised person of designated body on behalf of applicant

Printed Name of above specimen: _____ Regulated / Licence number (if applicable): _____

Date: _____

SOURCE OF FUNDS DECLARATION

Declaration

I hereby declare that the funds used to fund my investment with you originate as per the information given above, and are made on my own behalf and are not on behalf of a third party.

¹We may seek to independently validate the declaration by requesting supporting documentation.

Fund Name: _____ Applicant Name: _____

Signature: _____

Signature of Applicant/ Signature of authorised person of designated body on behalf of applicant

Printed Name of above specimen: _____

Regulated / Licence number (if Applicable): _____

Date: _____

**Criminal Justice Act 2010-2021 Section 37 (4) (b)*