

**IN TERMS OF THE FINANCIAL INTELLIGENCE AND ANTI-MONEY LAUNDERING ACT 2002 AND THE CODE ON THE PREVENTION OF MONEY LAUNDERING & TERRORIST FINANCING 2012**

**COMPLIANCE FORM REGARDING NATURAL PERSONS**

<b>PART A: IDENTIFICATION</b>	
<b>INFORMATION REQUIRED</b>	<b>INFORMATION RECEIVED</b>
Full names (including any former names, any other names used and other aliases)	
Residential address	
Date and place of birth	
Nationality	
Occupation	
Nature of transaction	
Source of funds (to complete Part D)	

**Completed by:**

**Approved by:**

#### COMPLIANCE FORM REGARDING LEGAL PERSONS

PART B: IDENTIFICATION	
INFORMATION REQUIRED	INFORMATION RECEIVED
Registered Name	
Company Registration / Incorporation Number under which it is incorporated	
Date and country of registration	
Registered address where incorporated	
Principal place of business if different from registered address	
Legal status of entity	
Nature of transaction	
Source of funds (complete Part D)	
Direct and indirect ultimate beneficial shareholders holding more than 20% voting rights *	

\* Use separate page if required for details

**Completed by:**

**Approved by:**

### ASSET MANAGEMENT

CLIENT NAME: \_\_\_\_\_

PART C: VERIFICATION		
Please provide us with originals or certified copies***, as appropriate and applicable of the documents referred to below, which we are obliged to obtain in order to verify our client's identity.*		
	INFORMATION	VERIFY
<b>1 IN RESPECT OF AN INDIVIDUAL:</b>		
1.1 Identification data such as: <ul style="list-style-type: none"> <li>National identity card</li> <li>Current valid passport</li> <li>Current valid driving licence</li> <li>The identification document should bear a photograph of the person, full names or initials and surname, date of birth, nationality and identity number.</li> </ul>		
1.2 Document confirming physical address such as: <ul style="list-style-type: none"> <li>Recent* utility bill;</li> <li>Recent* bank or credit card statement; or</li> <li>Recent* bank reference.</li> </ul> Alternatively, verification can be achieved by: <ul style="list-style-type: none"> <li>Obtaining a reference from a professional person who knows the natural person. The reference must include the permanent residential address of the individual;</li> <li>Checking a current register of electors;</li> <li>Utilising an address verification service; or</li> <li>Visit the individual at his/her current residential address.</li> </ul>		
2 Any other information which the administrator may be required to request.		
<b>2 IN RESPECT OF A COMPANY**:</b>		
2.1 Identification data such as: <ul style="list-style-type: none"> <li>Certificate of incorporation or registration or other document evidencing establishment</li> <li>Verification from the relevant registry that the company continues to exist</li> <li>Register of directors (specify the date)</li> <li>Register of members (specify the date)</li> </ul>		
2.2 Document confirming physical address such as: <ul style="list-style-type: none"> <li>Recent* utility bill;</li> <li>Recent* bank or credit card statement; or</li> <li>Recent* bank reference.</li> </ul>		

### ASSET MANAGEMENT

2.3 Copy of latest financial statements where available (audited where possible)		
2.4 Customer due diligence documentation for direct shareholders holding more than 20% voting rights.		
<p>2.5 Customer due diligence documentation as for INDIVIDUALS (above) in respect of the following:</p> <ul style="list-style-type: none"> <li>• Any TWO directors</li> <li>• Officers representing the company in transactions (which may include members of the board of directors, chief executive, managing director, chief financial officer, manager, company secretary, partner, trustee)</li> <li>• Ultimate individual beneficial shareholders holding more than 20% voting rights</li> </ul>	<ul style="list-style-type: none"> <li>• Any TWO directors</li> <li>• Officers representing the company in transactions</li> <li>• Ultimate individual beneficial shareholders holding more than 20% voting rights</li> </ul>	
2.6 In respect of the officers representing the company, proof of their authority to act on behalf of the company.		
2.7 Any other information which the administrator may be required to request.		
<b>3 IN RESPECT OF A TRUST:</b>		
<p>3.1 Identification data such as:</p> <ul style="list-style-type: none"> <li>• Trust deed evidencing establishment</li> <li>• Verification from the relevant registry that the trust continues to exist where available</li> </ul>		
<p>3.2 Identify and verify identity of the following:</p> <ul style="list-style-type: none"> <li>• Trustees</li> <li>• Beneficiaries</li> <li>• Settler</li> <li>• Protector (where applicable)</li> <li>• Officers representing the trust in transactions (which may include members of the board of trustees, chief executive, managing director, chief financial officer, manager, company secretary, partner, trustee)</li> </ul> <p>Identification data such as:</p> <ul style="list-style-type: none"> <li>• National identity card</li> <li>• Current valid passport</li> <li>• Current valid driving licence</li> </ul> <p>The identification document should bear a photograph of the person, full names or initials and surname, date of birth, nationality and identity number.</p>	<ul style="list-style-type: none"> <li>• Trustees</li> <li>• Beneficiaries</li> <li>• Settler</li> <li>• Protector (where applicable)</li> <li>• Officers representing the trust</li> </ul>	
3.3 Details of registered office and place of business of Trustee.		
3.4 In respect of the officers representing the trust, proof of their authority to act on behalf of the trust.		

### ASSET MANAGEMENT

3.5 Any other information which the administrator may be required to request.		
<b>4 IN RESPECT OF A PARTNERSHIP:</b>		
4.1 Identification data such as: <ul style="list-style-type: none"> <li>Partnership agreement</li> <li>Verify nature of the business of the partnership where available</li> </ul>		
4.2 Document confirming physical address such as: <ul style="list-style-type: none"> <li>Recent* utility bill;</li> <li>Recent* bank or credit card statement; or</li> <li>Recent* bank reference.</li> </ul>		
4.3 Copy of latest financial statements where available (audited where possible)		
4.4 Identify and verify identity of the following: <ul style="list-style-type: none"> <li>Significant partners / controllers / directors</li> <li>Beneficiaries</li> <li>Officers representing the company in transactions (which may include members of the board of directors, chief executive, managing director, chief financial officer, manager, company secretary, partner, trustee)</li> </ul>	<ul style="list-style-type: none"> <li>Significant partners / controllers / directors</li> <li>Beneficiaries</li> <li>Officers representing the company in transactions</li> </ul>	
4.5 In respect of the officers representing the partnership, proof of their authority to act on behalf of the trust.		
4.6 Any other information which the administrator may be required to request.		
<b>5 FINANCIAL SERVICES INSTITUTION OR BANK INVESTING POOLED FUNDS I.E. CIS / PENSION FUNDS</b>		
5.1 Fund Incorporation Agreement such as: <ul style="list-style-type: none"> <li>Fund Agreement/ Deed/ Prospectus</li> <li>Verify nature of the business of the Fund</li> </ul>		
5.2 Identify and verify identity of the following where applicable: <ul style="list-style-type: none"> <li>Significant partners / controllers / directors/ trustees</li> <li>Beneficiaries</li> <li>Officers representing the fund in transactions (which may include members of the board of directors, manager, partner, trustee, authorised signatories)</li> </ul>	<ul style="list-style-type: none"> <li>Significant partners / controllers / directors</li> <li>Beneficiaries (holding &gt;25% controlling interest in the Fund)</li> <li>Officers representing the company in transactions</li> </ul>	
5.3 In respect of the officers representing the fund, proof of their authority to act on behalf of the fund.		

## ASSET MANAGEMENT

5.4 Any other information which the administrator may be required to request.		
-------------------------------------------------------------------------------	--	--

\* The term 'recent' means within the last 6 months. P.O. Box addresses are not acceptable as permanent residential addresses.

\*\* Not required if the client is a public company whose shares are listed on a recognised stock exchange.

\*\*\*Copies of the verification of identity documentation can be certified by a suitable person, such as a lawyer, notary, actuary, an accountant or any other person holding a recognized professional qualification, director or secretary of a regulated financial institution in Mauritius or in an equivalent jurisdiction, a member of the judiciary or a senior civil servant.

The certifier should sign the copy document and clearly indicate his name, address and position or capacity on it together with contact details to aid tracing of the certifier.

COMPLIANCE APPROVAL : \_\_\_\_\_

COMPLIANCE OFFICER : \_\_\_\_\_

DATE : \_\_\_\_\_

### ASSET MANAGEMENT

#### PART D: DECLARATION OF SOURCE OF FUNDS

The Administrator  
 Pivot Ltd  
 Ebène Heights,  
 1st Floor, 32 Ebène Cybercity,  
 Ebène,  
 Mauritius

I, the undersigned, being an investor of a unit portfolio in the Haussmann Rech Unit Trust Scheme, acknowledge that it is a regulatory requirement in Mauritius to verify the source of funds invested through Mauritius and to determine that those funds are derived from legitimate sources.

Pursuant to the above, I hereby declare that the funds totalling (USD/EUR) ..... represent funds obtained from the following source and emanate from the country specified below:

1	Employment/Professional		5	Sale of property/Shares/Business	
2	Trade/Business		6	Personal Savings	
3	Inheritance		7	Borrowed (please provide details)	
4	Dividends		8	Other (please provide details)	

(Please tick as appropriate)

Details \_\_\_\_\_

(Note: Please add a separate sheet if space is not sufficient)

Country of origin of funds \_\_\_\_\_

Should there be any changes in the source of funds I undertake to disclose this fact and shall forthwith send an amended 'Declaration of Source of Funds' to the Administrator.

I confirm that the declaration made above is true, complete and accurate in all respects and undertake to immediately notify the Administrator of any act or thing that would render the declaration untrue, incomplete and inaccurate.

Date: \_\_\_\_\_

\_\_\_\_\_  
**Signature**

Full name: \_\_\_\_\_

Representing:  
 (Name of corporate beneficial owner) \_\_\_\_\_

Duly authorized to execute this declaration by virtue of:  
 (Power of Attorney or Resolution) \_\_\_\_\_

Residential address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_