

Section 1

Corporate Information

Registered name of entity

Previous name (if any)

Registration number

Date of incorporation or registration (DD/MM/YYYY)

Registered Address (a PO box or a c/o address is not acceptable)

Country of incorporation of registration

Telephone / Mobile number (country, area code and number)

Email

Website

Legal Form

☐

Private Company

☐

Association

☐

Public Company

☐

Purpose Foundation

☐

Commercial partnership

☐

Administrator of a private foundation

☐

Civil partnership

☐

Trustee of a trust

Legal Status

☐

Active

☐

In liquidation

☐

In formation (Foundation or Associations)

Section 1.2

High Risk Activities

Please tick as appropriate

☐

Holding Company

☐

Trading Company

Is the company is involved in high-risk industries ?

☐

Yes

☐

No

If Yes refer overleaf for high risk industries and insert your industry in the box below.

Section 2

Details of Representative

Name

Surname (Family name)

Permanent residential address (a PO box or a c/o address is not acceptable)

Please provide documented proof of authorisation to represent the entity

Date of birth (DD/MM/YYYY)

Country of birth

Identity number (SELECT - ID Card, Passport, Driving license, Residence card)

Nationality

Email

Telephone / Mobile number (country, area code and number)

Continue on an additional sheet if there are more than one representative

Authorised to represent the entity in terms of:

☐

Memorandum & Articles of Association or any other constitutive document

☐

Resolution by the board of directors, Partners or governing body

☐

Letter of appointment / engagement

☐

Any other form of authorisation

Details of
Shareholders/
Beneficial Owners

For companies fill in the details of beneficial owners who, directly or indirectly, own 25% or more of the entity.

Administrators of private foundations should outline details of the founders, anyone else that has endowed the foundation, persons who have been vested with or assigned any rights, as well as all the beneficial owners

Trustees of a trust should outline details of the settlor, the protector (if any) and all the beneficial owners

Continue on an additional sheet if there are more than four shareholders/beneficial owners

Shareholder / Beneficial Owner 1

Official full name

Permanent residential or registered address
(a PO box or a c/o address is not acceptable)

Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Shareholder / Beneficial Owner 2

Official full name

Permanent residential or registered address
(a PO box or a c/o address is not acceptable)

Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Shareholder / Beneficial Owner 3

Official full name

Permanent residential or registered address
(a PO box or a c/o address is not acceptable)

Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Shareholder / Beneficial Owner 4

Official full name

Permanent residential or registered address
(a PO box or a c/o address is not acceptable)

Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Ownership
and Control

Please provide an explanation of the ownership and control structure clearly identifying those natural persons who ultimately have ownership and control of the entity on whose behalf a transaction or activity is being conducted.

Source of Wealth

Indicate source from which entity obtains total net-worth (e.g. Principal activity, subsidiary trading company ...)

Source of Funds

Please indicate the method of payment to be used for this particular transaction:

Cash	€ <input type="text"/>	Cheque	€ <input type="text"/>	Bank Transfer	€ <input type="text"/>
Other	<input type="text"/>				

Please indicate the source(s) from which the entity obtained the funds for this transaction:

<input type="checkbox"/>	Company retained earnings	€ <input type="text"/>	<input type="checkbox"/>	Sale of immovable property	€ <input type="text"/>
	- Audited Financials of the Company			- Copy of Deed Sale or - Notarial Declaration detailing property address, date of sale, proceeds received and name of Purchaser or - Notarised Note of Enrollment	
<input type="checkbox"/>	Return on investments	€ <input type="text"/>	<input type="checkbox"/>	Sale of movable property (e.g. a car, boat, etc)	€ <input type="text"/>
	- Bank Statement showing receipt of funds and investment company name or - Statement showing maturity /release of funds on Investment Co. Letter-head			- Identification Document of Transferee and - Copy of Transfer Documentation or - Declaration Letter signed by Transport Malta or any official from and equivalent Authority in a foreign jurisdiction, on Authority letter-head paper, confirming such transfer or - Notarial Declaration Letter detailing transfer item, value of transfer and date to transfer	
<input type="checkbox"/>	Bank loan or credit facility	<input type="text"/>			
	(Please specify amount)	€			
	- Copy of Bank Loan Deed detailing the Applicant as Debtor - Copy of Bank Statement clearly indicating Bank Loan Account, signed and dated by a Bank Official				
<input type="checkbox"/>	Private / Shareholder loan	<input type="text"/>			
	(Please specify amount and provider)	€			
	- Copy of Private Loan Deed detailing the Applicant as Borrower and - Identification Document of Lender on the Deed and - Lender to complete KYC Form and - Documentary evidence of the Lender's source of wealth or funds as detailed in the table, according to how Lenders' wealth was acquired or accumulated				
<input type="checkbox"/>	Any other (Please specify)	<input type="text"/>			
	Country from which the funds relative to this particular transaction originate from	<input type="text"/>			

Section 6

Politically Exposed Person

Individuals (including family members and close associates) who hold prominent public positions/offices. (i) Heads of State or Government, Ministers & Deputy & Assistant Ministers & Parliamentary Secretaries; (ii) Members of Parliament; (iii) members of the Courts or other high-level judicial bodies whose decisions are not subject to further appeal; (iv) members of courts of auditors, Audit Committees or of boards of central banks; (v) ambassadors, charges d'affaires & other high ranking officers in the armed forces; (vi) members of the administrative, management or boards of State-owned corporations. Family members include: 1. the spouse, or any partner recognised by national law 2. the children & their spouses or partners; & 3. the parents. Close associate includes any natural person known to have a joint/sole beneficial ownership in a legal entity with a PEP or for the benefit of a PEP.

Are you or the UBOs of the legal person you are representing Politically exposed persons?

☐

Yes

☐

No

If yes, please specify

Name of PEP

Relationship with PEP

Position held by the PEP

Please indicate the country from which you or the person/s you are representing obtained the PEP status

Up to (DD/MM/YYYY)

Section 7

Declaration

By signing this document I declare and confirm that:

- 1. I was not convicted of any offence (other than a minor offence in connection with the use or ownership of a motor vehicle);*
- 2. I am not involved in any criminal, money-laundering or terrorist funding activity and the funds that are and will be involved in the transaction are clean and do not derive from any illegal and/or illicit activities nor will they be used for any such purpose;*
- 3. I was not adjudged bankrupt and am not and was not a director, shareholder or manager of a business entity which has been the subject of an investigation, or which has been adjudged bankrupt, compulsorily wound up or has made a compromise or arrangement with its creditors;*
- 4. I am not and was not the subject of an investigation by a governmental, professional or other regulatory or statutory body;*
- 5. I am not and was never subject to any freezing order or Court Enforced Prohibition on disposing of my assets, both movable or immovable and/or any financial sanctions or any proceedings in relation to any offence involving money-laundering and/or funding of terrorism; and*
- 6. That I am not acting on behalf of any other undeclared third persons and the information provided by me and inserted in this form is correct and not misleading. Furthermore, I have not withheld any relevant information; I furthermore undertake to immediately inform the Association (UVIA) of any changes to the statements made in this form and/or to any information or documentation presented with this form.*

Data Protection

In terms of the applicable Data Protection rules and regulations, the Association (UVIA) will process the above data which I have provided or which I may subsequently provide to the Association (UVIA) in any manner, for the following purposes: To be able to process this application; For due diligence procedures, risk assessment and analysis; To conform to any laws, rules and regulations imposed on the Association (UVIA) by any relevant authority and/or regulator. I consent to the processing of such data for the purpose specified above and consent to the disclosure of information given above to an authority and/or regulator and/or outsourced customer due diligence service provider. I understand that the Association (UVIA) reserves the right to request more information/documentation. I understand that the Association (UVIA) also reserves the right at its absolute discretion and without incurring any liability, to reject an applicant without having to give any reason for such rejection.

Signed

(on my own behalf and on behalf of any person I am representing)

Date (DD/MM/YYYY)

Section 2.1

Details of Representative

Please provide documented proof of authorisation to represent the entity

Name	Surname (Family name)
Permanent residential address (a PO box or a c/o address is not acceptable)	
Date of birth (DD/MM/YYYY)	Country of birth
Identity number (SELECT - ID Card, Passport, Driving license, Residence card)	Nationality
Email	Telephone / Mobile number (country, area code and number)

Authorised to represent the entity in terms of:

- | | |
|--|---|
| <input type="checkbox"/> Memorandum & Articles of Association or any other constitutive document | <input type="checkbox"/> Resolution by the board of directors, Partners or governing body |
| <input type="checkbox"/> Letter of appointment / engagement | <input type="checkbox"/> Any other form of authorisation |

Section 2.2

Details of Representative

Please provide documented proof of authorisation to represent the entity

Name	Surname (Family name)
Permanent residential address (a PO box or a c/o address is not acceptable)	
Date of birth (DD/MM/YYYY)	Country of birth
Identity number (SELECT - ID Card, Passport, Driving license, Residence card)	Nationality
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**Details of
Shareholders/
Beneficial Owners**

For companies fill in the details of beneficial owners who, directly or indirectly, own 25% or more of the entity. Administrators of private foundations should outline details of the founders, anyone else that has endowed the foundation, persons who have been vested with or assigned any rights, as well as all the beneficial owners. Trustees of a trust should outline details of the settlor, the protector (if any) and all the beneficial owners

Shareholder / Beneficial Owner 5

Official full name	
Permanent residential or registered address (a PO box or a c/o address is not acceptable)	
Date of birth or registration (DD/MM/YYYY)	
Country of birth or incorporation	
Identity or registration number	
Nationality	
% shareholding / share or ownership	
Profession / trade / occupation	

Shareholder / Beneficial Owner 6

Official full name	
Permanent residential or registered address (a PO box or a c/o address is not acceptable)	
Date of birth or registration (DD/MM/YYYY)	
Country of birth or incorporation	
Identity or registration number	
Nationality	
% shareholding / share or ownership	
Profession / trade / occupation	

Shareholder / Beneficial Owner 7

Official full name	
Permanent residential or registered address (a PO box or a c/o address is not acceptable)	
Date of birth or registration (DD/MM/YYYY)	
Country of birth or incorporation	
Identity or registration number	
Nationality	
% shareholding / share or ownership	
Profession / trade / occupation	

Shareholder / Beneficial Owner 8

Official full name	
Permanent residential or registered address (a PO box or a c/o address is not acceptable)	
Date of birth or registration (DD/MM/YYYY)	
Country of birth or incorporation	
Identity or registration number	
Nationality	
% shareholding / share or ownership	
Profession / trade / occupation	

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Shareholder / Beneficial Owner 9

Official full name

Permanent residential or registered address

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Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Shareholder / Beneficial Owner 10

Official full name

Permanent residential or registered address

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Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Shareholder / Beneficial Owner 11

Official full name

Permanent residential or registered address

(a PO box or a c/o address is not acceptable)

Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Shareholder / Beneficial Owner 12

Official full name

Permanent residential or registered address

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Date of birth or registration (DD/MM/YYYY)

Country of birth or incorporation

Identity or registration number

Nationality

% shareholding / share or ownership

Profession / trade / occupation

Section 1.2 High Risk Activities

Arms or Military Equipment
Auto Dealer
Automotive parts/repairs
Boat Dealer
Cash intensive business (eg restaurants, supermarkets...)
Crowd funding and ICOs
Cryptocurrency
Dual Use Goods
Fine arts/luxury goods
Gaming Gambling and Betting
General Import Export
Mining/extractive industries
Petroleum, Oil and Gas
Pharmaceutical Industry (unregulated)
Real Estate Business
Shell Banks
Tyre industry
Unregulated/unlicensed Money Service Business
Yacht holding/leasing services
VFA Agents