

CUSTOMER DUE DILLIGENCE

Please be aware that the list of documents does not purport to be exhaustive, and upon review of the documents we may have to request further documentation. Company is also kindly requested to provide us with any other documents which company may deem to be relevance. A true translation shall be added in case the documents are in language other than English. The term for issuing documents should not exceed 6 months.

DOCUMENT	FORM OF CERTIFICATION
Foundation documents (By-Laws, Memorandum of association, Articles or other official document depending on the particular jurisdiction)	<i>For Cyprus based companies: original or certified true copy by certifying officer</i> <i>For other countries: notarised and apostilled copy or apostilled original</i>
Certificate of incorporation or other official document, which confirms incorporation details (i.e. register extract)	
Certificate of good standing	
Certificate or other official document, which confirms the place of registered office address (i.e. register extract)	
Certificate or other official document, which confirms the list of directors (i.e. register extract)	
Certificate or other official document, which confirms the list of shareholders (i.e. register extract)	<i>For Cyprus residents: original or certified true copy by certifying officer</i> <i>For other countries: notarised and apostilled copy or apostilled original</i>
Ownership structure (please find attached the sample for your convenience)	
*If applicable: Shareholders:	
<ul style="list-style-type: none"> in the cases where the registered shareholders act as nominees, a copy of the trust deed/agreement concluded between the nominee shareholder and the Beneficial Owner, by virtue of which the registration of the shares on the nominee shareholder's name on behalf of the Beneficial Owner has been agreed 	<i>For Cyprus based companies: original or certified true copy by certifying officer</i> <i>For other countries: notarised and apostilled original or copy</i>
<ul style="list-style-type: none"> For shareholding equal or greater than 25% certificate of incorporation (for legal persons) 	
Authorized signature list, which includes individuals that are duly authorised to act on behalf of the legal person (if applicable: power of attorney for all persons duly authorized to act on behalf of the company) in the course of the relationships with Dragon Capital (Cyprus) Limited	<i>For Cyprus residents: original or certified true copy by certifying officer</i> <i>For other countries: apostilled copy or apostilled original</i>
For members of the Board of directors, ultimate beneficial owners (UBO) and authorized individuals	
<ul style="list-style-type: none"> Passport and official national identity card (for non-Cyprus residents – if any) 	<i>For Cyprus residents: original or certified true copy by certifying officer</i> <i>For other nationals: apostilled copy</i>

<ul style="list-style-type: none"> Address confirmation (up to 6 months utility bill) 	<i>For Cyprus residents: original or certified true copy by certifying officer</i> <i>For other countries residents: original in electronic format</i>
<ul style="list-style-type: none"> CV or public profile (for UBO only) 	<i>Electronic form or link to the web-site</i>
The latest approved by professional accountants or auditors financials	<i>Link to web-site or copy, certified by authorized person</i>
Standard Settlement Instructions (or bank reference with bank account details for settlement), LEI and contact details for authorized persons and back-office	<i>In electronic format</i>
<i>*In case of investment fund, mutual fund:</i>	
<ul style="list-style-type: none"> AML letter (as per attached sample or as per your form) 	<i>Original</i>
<ul style="list-style-type: none"> <i>If any:</i> Copy of license or authorization from granted by competent authority for the fund, including confirmation on supervision for AML 	<i>Link to regulatory body web-site</i>
<ul style="list-style-type: none"> <i>If any:</i> Prospectus or other adequate documentation, in order to confirm the control structure and management of the business activities, as well as its objectives, including information of investment managers, investment advisors, administrators and custodians. 	<i>For Cyprus residents: original or certified true copy by certifying officer</i> <i>For other nationals: apostilled original</i>

We also kindly ask you to submit as per attached samples:

FORM	FORM OF CERTIFICATION
1. <u>*For account opening only:</u> resolution of the board of directors of the legal person for the opening of the account and granting authority to those who will operate it (please find sample attached)	<i>For Cyprus residents: original</i> <i>For other countries: apostilled original</i>
2. Questionnaire for legal entity	<i>Original</i>
3. Latest Wolfsberg AML questionnaire	<i>Original</i>
4. Client categorization according to MiFID II	<i>Original</i>
5. Relevant W8 or W9 form and CRS form	<i>Original</i>
6. <u>*For US fiduciaries only:</u> 15a-6 statement	<i>Original</i>
7. <u>*For residents of high-risk third countries only:</u> third party reference letter (as per attached sample)	<i>Apostilled original</i>