

Non-UK Client Onboarding Process

April 2022

The purpose of this document is to assist investors, who are non-UK resident, in opening an appropriate brokerage account to allow them to invest in IPSX securities.

Below is a list of current IPSX Trading Members (brokers) who will open broker accounts for non-UK residents.

IPsx Trading Members (brokers):

A selection of our trading members are:

Albert E Sharp

Clear Capital Markets

Oberon Investments

Pello Capital

Platform Securities

Shard Capital Partners

Please refer to the full list of Trading Members in the Member Directory on the IPSX website for contact details for the above brokers: <https://www.ipsx.com/member-directory/>

Know Your Client (KYC) Requirements

As FCA regulated firms, our Trading Members (brokers) are required to undertake Know Your Client (KYC) checks to ensure they can identify and verify their clients.

Documentation your broker may require

Depending upon who is investing and where they are domiciled or resident, documentary requirements may differ. The following list of potential documents you might be asked for is split by personal and corporate account. These lists should only be used for guidance purposes and your chosen broker will provide specific documentary requirements based on your individual circumstances.

1. Personal accounts:

- Certified copy of your passport
- Certified copy of a proof of your home address (e.g., a utility bill - dated within the last 3 months)
- Certified copy of your bank statement (showing the available funds you wish to invest)
- Completed Common Reporting Standard (CRS) self-certification form
- If paying income tax, a certified copy of your Tax Return for the most recent tax year
- If self-employed, you will also need to provide certified copies of your payslips

2. Corporate accounts:

- Proof of regulation (if applicable)
- Certificate of incorporation
- Memorandum and Articles of Association
- Group structure chart
- Authorised signatory list (with specimen signatures)
- Latest Financial Statements
- Register of Directors
- Register of Members /Shareholders
- Passport or other government issued ID for all ultimate beneficial owners holding 25% or more of the company
- Proof of address (e.g., utility bill/bank statement no more than 3 months old) for all ultimate beneficial owners holding 25% or more of the company
- Passport or other government issued ID for all directors
- Proof of address that is no more than 3 months old for all directors
- Company bank statement

What is KYC?

In a nutshell, it is the process of identifying who investors are and their wealth status, verifying the sources of their funds and requiring detailed anti-money laundering (AML) information. Getting the detailed information about a client protects both parties in a business transaction and relationship. KYC serves an important purpose for providing superior service, preventing liability, and avoiding association with money laundering, and types of fraud.

What is CRS self-certification?

A CRS self-certification form is a form needed to certify the tax residency status of the account holder and its CRS reporting status. Your chosen broker must collect certain information and/or documentation from its clients to establish their tax residence and classification status. In certain circumstances, your broker may be required to report this information annually to relevant tax authorities. This information then may be exchanged with relevant tax authorities in other countries or jurisdictions, in accordance with applicable law.

If you have any questions, please do not hesitate to get in touch, emailing us on cmg@ipsx.com or by using the contact details below.



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