

Campbells – Client Due Diligence Requirements

Campbells is committed to ensuring compliance with the anti-money laundering regulations of the Cayman Islands through effective client due diligence (“CDD”). A key elements of CDD is to confirm the identity of our client and related parties. If you believe that Campbells has already received all of your required documentation or that an exemption applies (e.g. listed entities and regulated entities, as addressed herein). Please contact your Campbells legal representative for guidance.

NOTE: All documents provided for CDD purposes require certification per the guidelines below.	
<p>Individuals/Natural Person Requirements</p> <p>(e.g. directors, managers, general partners, supervisors and shareholders, members, settlors, and ultimate beneficial owners who hold a 10% or greater legal or beneficial interest)</p>	<p>Photographic Identification</p> <ul style="list-style-type: none"> – Passport – Driver’s License – National Government Issued ID Card (i.e. Residency card, Armed Forces ID) <p>Note: All photo IDs must be valid (i.e. unexpired)</p> <p>Residential Address Verification</p> <p>Please provide any one of the following to confirm:</p> <ul style="list-style-type: none"> – Utility Bill (i.e. Water, electricity, gas, landline telephone / internet bill only) – Driver’s License (if not already used for photographic identification) – Bank statement (i.e. loan, mortgage) – Credit card statement – Bank Reference Letter – Professional Reference Letter – Official Government correspondence <p>Note: For young adults residing with their parents, a utility bill in the parent(s) name and a letter from the parents confirming that the applicant resides with them may be accepted.</p> <p>Explanation of Source of Wealth (required for interest holders)</p> <p>Source of wealth information is required for all interest holders with 10% or more interest.</p> <p>For guidance on source of wealth requirements, please refer to the Source of Funds (“SOF”) & Source of Wealth (“SOW”) Requirements included herein.</p>

	<p>In instances where your country of residence, citizenship and/or source of wealth is from a country outside of Campbells' List of Equivalent Jurisdictions (referenced herein), we will also require the following items:</p> <p>Second Form of Photographic Identification:</p> <ul style="list-style-type: none"> – Passport – Driver's License – National Government Issued ID Card (i.e. Residency card, Armed Forces ID) <p>Professional or Bank Reference letter:</p> <p>Original Reference letter from a lawyer, certified accountant or regulated financial institution. The relationship should be existing for at least three (3) years, must be addressed to Campbells and the letter should be issued on letterhead. (Sample attached)</p>
<p>Source of Funds ("SOF") & Source of Wealth ("SOW") Requirements</p> <p><i>In certain circumstances, we need to establish the source of wealth of a contributor, in addition to source of funds.</i></p> <p><i>Source of wealth relates to the general body of wealth held by the contributing party, beyond just the assets involved in the transaction at hand. We ask for this information alongside source of funds to ensure we reach out for all the information we might need in one go.</i></p>	<p>Where Campbells is providing legal advice in relation to a financial transaction, or where Campbells is providing Registered Office services to an entity participating in a financial transaction, we need to understand the source of the cash/assets involved in the transaction.</p> <p>The most straightforward way to help us meet this requirement is to obtain a short statement in writing (e-mail will suffice) from the contributing parties (e.g. investors, settlor, buyer, etc.) or by filling out our SOW/SOF Declaration Form and providing all supporting documentation. Your confirmation should cover the following points:</p> <ul style="list-style-type: none"> – The type and value of assets being contributed – The overall value and composition of the contributor's net wealth – How the assets were generated (e.g. sale of investment property purchased [year] with employment earnings) – How the contributor's net wealth was accumulated (e.g. inheritance, trading profits, bonuses, salary as [position]). – Where the assets were generated (e.g. United Kingdom) – Where the contributor's net wealth was generated (e.g. USA) <p>Note: Where digital assets are a source of wealth the following additional details are required:</p> <ul style="list-style-type: none"> – The wallet provider or regulated exchange (e.g. Binance, Coinbase, Kraken) – The type of assets in portfolio (e.g. NFTs, Bitcoin, Altcoin, tokens) – Confirmation of the overall value and composition of the portfolio

<p>Private Company Requirements (e.g. Limited Companies, Limited Liability Companies, Unlimited Companies, Corporations)</p>	<p>For private companies we require the following documents</p> <p>Corporate documents</p> <ul style="list-style-type: none">– Formation documents (e.g. Certificate of Incorporation)– Director and Shareholder information (e.g. Register of Directors, Register of Members, Certificate of Incumbency issued within recent three months)– Constitutional documents (e.g. Memorandum and Articles of Association, Amendments By-laws, Issuer Charter)– Explanation of purpose and nature of business of the Company– Confirmation of Source of Funds <p>Structure Chart (if available)</p> <p>A structure chart including each intermediary layer(s) up to ultimate beneficial owner (10% or more interest) level, being confirmed by one of the below:</p> <ul style="list-style-type: none">– Director of the company– Company secretary– Authorised signatory of the company– An advisor to the company (e.g. legal counsel, accountant, tax advisor, administrator etc.) <p>Ownership and control</p> <p>CDD documents are required for the below parties:</p> <ul style="list-style-type: none">– Direct owners – all shareholders with a direct equity interest of 10% or more.– Direct controllers – all directors.– Ultimate owners – parties with an ultimate equity interest of 10% or more (e.g. individuals or regulated/listed entities sitting above the direct owners).– Ultimate controllers – parties able to exercise control (e.g. individual directors of a corporate director).– Intermediate parties – any other parties sitting between direct owners/controllers and the ultimate owners/controllers.
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<p>Partnership Requirements</p> <p><i>(e.g. Limited Partnerships, Limited Liability Partnerships)</i></p>	<p>For limited partnerships (LPs) and limited liability partnerships (LLPs) we require the following documents</p>
	<p>Partnership Documents</p> <ul style="list-style-type: none"> – Formation document (e.g. Certificate of Registration) – Constitutional document (e.g. Limited Partnership Agreement) – General Partner and Limited Partner information (e.g. Register of General Partners, Register of Limited Partners, Certificate of Incumbency issued within recent three months) – Explanation of purpose and nature of business – Confirmation of Source of Funds <p>Structure Chart (if available)</p> <p>A structure chart showing the ownership structure of the General Partner(s) including each intermediary layer(s) up to ultimate beneficial owner level (10% or more interest), being confirmed by one of the below:</p> <ul style="list-style-type: none"> – General Partner – Authorised signatory – An advisor to the company (e.g. legal counsel, accountant, tax advisor, administrator, etc.) – Ultimate Beneficial Owners (UBOs) and Ultimate Effective Controllers (UECs) <p>Ownership and control</p> <p>CDD documents are required for the following:</p> <ul style="list-style-type: none"> – Direct owners – limited partners, with a direct equity interest of 10% or more – Direct controllers – general partner(s) – Ultimate owners – parties with an ultimate equity interest of 10% or more (e.g. individuals or regulated/listed entities sitting above the direct owners) – Ultimate controllers – parties able to exercise control (e.g. individual directors of a corporate general partner) – Intermediate parties – any other parties sitting between direct owners/controllers and the ultimate owners/controllers
<p>NOTE: Where the Partnership is a fund structure, additional items are required. See Fund Requirements referenced herein.</p>	

<p>Foundations, Charities and Not-For-Profit Organisations Requirements</p>	<p>For Foundations we require the following documents</p>
	<p>Entity documents</p> <ul style="list-style-type: none"> – Formation document (e.g. Certificate of Formation) – Constitutional document (e.g. Charter) – Most recent copies of your Form 990 (if applicable) – Foundation Confirmation Letter (sample attached) – Council Member information (e.g. Statement) – Explanation of Purpose and Nature of Foundation or Charity – Confirmation of Source of Funds <p>Structure Chart (if available)</p> <p>A structure chart including each intermediary layer(s) up to ultimate beneficial owner level (10% or more interest), being confirmed by one of the below:</p> <ul style="list-style-type: none"> – Council member – Authorised signatory – An advisor to the Foundation (e.g. legal counsel, accountant, tax advisor, administrator, etc.). <p>Ownership and control</p> <p>CDD documents are required for the key parties involved with the foundation, including:</p> <ul style="list-style-type: none"> – Direct beneficiaries – those parties with a direct vested interest in the assets of the foundation (e.g. named beneficiaries) – Direct controllers – those parties exercising direct control over the foundation (e.g. supervisors, council members, guardians, etc.) – Direct contributors – those parties who have directly contributed the assets of the foundation (e.g. the founder) – Ultimate beneficiaries – those parties with an ultimate vested interest in the assets of the foundation (e.g. any individuals or regulated/listed entities sitting above direct beneficiaries who are private companies, trusts, etc.). – Ultimate controllers – those parties exercising ultimate control over the foundation (e.g. individual directors of a council member which is a corporate). – Ultimate contributors – those parties who have ultimately contributed the assets of the foundation (e.g. high net worth individual sitting behind a founder which is a corporate, or trust, or similar) – Intermediate parties – any other parties sitting between direct beneficiaries/controllers/contributors and the ultimate beneficiaries/controllers/contributors.

Trust Requirements	<p>For trusts we require the following documents</p>
	<p>Trust documents</p> <ul style="list-style-type: none"> – Constitutional document (e.g. Trust Deeds or Declaration of Trust) – Trustee Declaration Letter (attached) – CDD on all related parties outlined under Ownership and Control. – Confirmation of Source of Funds <p>Structure Chart (if available)</p> <p>A structure chart including each intermediary layer(s) up to ultimate beneficial owner (10% or more interest) level, being confirmed by one of the below:</p> <ul style="list-style-type: none"> – Settlor – Grantor – Trustee – Protector – Enforcer – Beneficiaries – Authorised signatory <p>Ownership and control</p> <p>CDD documents are required for the below parties:</p> <ul style="list-style-type: none"> – Direct beneficiaries (18 years or older) – those parties with a direct vested interest in the assets of the trust (e.g. named beneficiaries) – Direct controllers – those parties exercising direct control over the trust (e.g. trustees, protectors, enforcers, etc.) – Direct contributors – those parties who have directly contributed the assets of the trust (e.g. the settlor) – Ultimate beneficiaries – those parties with an ultimate vested interest in the assets of the trust (e.g. any individuals or regulated/listed entities sitting above direct beneficiaries who are private companies, trusts, etc.). – Ultimate controllers – those parties exercising ultimate control over the trust (e.g. individual directors of a trustee which is a private company). – Ultimate contributors – those parties who have ultimately contributed the assets of the trust (e.g. high net worth individual sitting behind a settlor which is a corporate, or foundation, or similar) – Intermediate parties – any other parties sitting between direct beneficiaries/controllers/contributors and the ultimate beneficiaries/controllers/contributors

<p>Fund Requirements</p>	<p>In addition to the standard corporate documents and CDD required for related parties, the following items are required for fund structures:</p> <p>AML/KYC Comfort Letter</p> <p>The AML/KYC comfort letter must confirm the following the details outlined in the Campbells Administrator – AML/CTF Comfort Letter (attached)</p> <p>Investment Objective and Strategy</p> <p>Private Placement (“PPM”) or Offering Memorandum (“OM”)</p>
<p>Certification Requirements</p>	<p>Suitable certifiers</p> <p>The following parties are able to certify your documents:</p> <ul style="list-style-type: none"> – Lawyer – Judge – Notary public (must still include required attestation language) – Accountant – Actuary – Chartered company secretary – Senior civil servant – Serving police/customs officer – Officer of an embassy/consulate/high commission – Director/officer/authorised signatory of a regulated entity <p><i>Note: Even if you hold the required qualifications to be a suitable certifier, you cannot certify your own documents.</i></p> <p>Certifier details</p> <p>Every certification must be accompanied with the following details:</p> <ul style="list-style-type: none"> – Date – Signature – Name – Capacity – Professional qualifications – Contact address – Contact telephone number <p>Foreign Language Documents</p> <p>Where documents are in a language other than English, we will require the original copies, together with a certified translation.</p>

	<p>Certification timing Certification must be conducted within six (6) months of submission to us.</p> <p>Required attestation language for photo ID The attestation wording must confirm the following:</p> <ol style="list-style-type: none"> 1. the copy is a true and accurate copy of the original document; and 2. the photograph within the document is a true likeness of the person named. <p>Example: "I certify this to be a true and accurate copy of the original document and that the photograph is a true likeness of the individual named therein."</p>
<p>Listed Companies</p>	<p>For entities with securities listed on a recognised international stock exchange we can verify required details directly from the relevant exchange's website.</p>
<p>Regulated Companies</p>	<p>For entities carrying on business in relation to which a regulatory body in an approved country (see Campbells' List of Equivalent Jurisdictions) exercises regulatory functions we can verify required details directly from the relevant regulator's website.</p>

CAMPBELLS LIST OF EQUIVALENT JURISDICTIONS AND APPROVED STOCK EXCHANGES

Campbells List of Equivalent Jurisdictions			
Australia	Estonia	Isle of Man	Norway
Austria	Finland	Italy	Portugal
Belgium	France	Japan	Singapore
Bermuda	Germany	Jersey	Spain
British Virgin Islands	Gibraltar	Korea, South	Sweden
Canada	Greece	Luxembourg	Switzerland
Cayman Islands	Hong Kong	Netherlands	United Kingdom
Denmark	Iceland	New Zealand	United States of America

Campbells List of Approved Stock Exchanges		
Amman Stock Exchange	Dusseldorf Stock Exchange	NYSE Arca
Athens Exchange	EDX London	NYSE Euronext
Australian Securities Exchange	Eurex Euronext	OMX Nordic Exchanges
Barbados Stock Exchange	Fukuoka Stock Exchange	Osaka Securities Exchange
BATS Exchange	Gibraltar Stock Exchange	Oslo Axess
Bayerische Borse AG	Hong Kong Exchange and Clearing	Oslo Stock Exchange
Berlin Stock Exchange	Indonesia Stock Exchange	Philippine Stock Exchange
Bermuda Stock Exchange	Intercontinental Exchange	PLUS Markets
BM&F Bovespa	International Securities Exchange	Prague Stock Exchange
BME Spanish Exchanges	Irish Stock Exchange	RMX Hannover
BOAG Borsen AG	Istanbul Stock Exchange	Saudi Stock Exchange (Tadawul)
Bolsa de Comercio de Buenos Aires	Jamaica Stock Exchange	Shanghai Stock Exchange
Bolsa de Comercio de Santiago	JASDAQ	NASDAQ OMX PHLX
Bolsa de Valores de Caracas	Johannesburg Stock Exchange	NASDAQ Stock Market
Bolsa de Valores de Colombia	Korea Stock Exchange	NASDAQ Stockholm
Bolsa de Valores de Lima	London Stock Exchange	Shenzhen Stock Exchange
Bombay Stock Exchange	Ljubljana Stock Exchange	Singapore Exchange
Borsa Italiana SPA	Luxembourg Stock Exchange	Stuttgart Stock Exchange
Bratislava Stock Exchange	Madrid Stock Exchange	SIX Swiss Exchange
Bucharest Stock Exchange	Malaysia Stock Exchange	Stock Exchange of Mauritius
Budapest Stock Exchange	Malta Stock Exchange	Taiwan Stock Exchange
Bulgarian Stock Exchange	Mexican Stock Exchange	Tel Aviv Stock Exchange
Cayman Islands Stock Exchange	Montreal Exchange	The Egyptian Exchange
Channel Islands Stock Exchange	Moscow Interbank Currency Exchange	The Stock Exchange of Thailand
Chicago Board Options Exchange	Nagoya Stock Exchange	TLX s.p.a.
Chicago Stock Exchange	NASDAQ OMX	Tokyo Stock Exchange
CME Group	NASDAQ OMX BX	Toronto Stock Exchange
Colombo Stock Exchange	National Stock Exchange (U.S.)	Trinidad and Tobago Stock Exchange
Copenhagen Stock Exchange	National Stock Exchange of India	Valencia Stock Exchange
Cyprus Stock Exchange	New York Stock Exchange	Vienna Stock Exchange
Czech Stock Exchange	New Zealand Exchange	Vilnius Stock Exchange
Deutsche Borse	NYSE Amex	Warsaw Stock Exchange

Please note, this list is subject to change and Campbells reserves the right to request additional documentation or information, when required.

Campbells - Certification Certificate

I, _____, in my capacity as _____ working in _____ certify that the document(s) attached hereto and listed below is/are true and accurate copies of the original(s) thereof:

Please list each document certified (i.e. Passport, Utility Bill, Register of Members, Operating Agreement)

Type of Certified Document	Name of Entity or Individual

I also certify that, where the above documents constitute photographic identification, the photograph(s) included in the attached is/are a true likeness of the person concerned.

Date of Certification	
Position or Capacity:	
Professional Qualification:	
Contact Address:	
Contact Telephone:	
Contact Email Address:	



Note: A certifier must be a suitable person, such as for instance a lawyer, accountant, director or manager of a regulated entity/ financial service provider, notary public, member of the judiciary or a senior civil servant.



CAMPBELLS SAMPLE - BANK REFERENCE LETTER

[On Bank Letterhead]

[DD Month YYYY]

Campbells
Floor 4, Willow House
Cricket Square
Grand Cayman, KY1-9010
Cayman Islands

RE: LAST NAME(S) - First Name(s) Middle Name(s) — Bank Reference Letter

Dear Campbells:

[LAST NAME(S) - First Name(s) Middle Name(s)] has been a customer of this bank for [Minimum of 3 years] years. During this time, [his/her] accounts have been managed in a proper manner.

The address we have on file for [LAST NAME(S) - First Name(s) Middle Name(s)] is [## - ## Street Address, City/Town, State/Province, Country, Postal/Zip Code].

Should you require any further information, please do not hesitate to contact me.

Sincerely,

[Full Name]

[Title]

[Contact Email Address]

[Contact Phone Number]



CAMPBELLS SAMPLE – PROFESSIONAL REFERENCE LETTER

[On Letterhead]

[DD Month YYYY]

Campbells
Floor 4, Willow House
Cricket Square
Grand Cayman, KY1-9010
Cayman Islands

Re: [First Name(s) Middle Name(s) LAST NAME(S)] – Professional Reference

Dear Campbells,

I have known [First Name(s) Middle Name(s) LAST NAME(S)] for [minimum three] years in my capacity as [professional capacity in which known] and during that period, they have to best of my knowledge, been [honest and respectable], [a person of good character and integrity] and [trustworthy].

[Brief background information to describe what capacity you know the aforementioned individual.]

The address we have on file for [First Name(s) Middle Name(s) – LAST NAME(S)] is [## - ## Street Address, City/Town, State/Province, Country, Postal/Zip Code].

I have no hesitation in recommending [First Name(s) Middle Name(s) LAST NAME(S)] as a person to transact business with.

Should you require any further information, please do not hesitate to contact me.

Sincerely,

[Full Name]

[Title]

[Contact Email Address]

[Contact Phone Number]



CAMPBELLS SAMPLE – TRUSTEE DECLARATION

[On Letterhead]

[DD Month YYYY]

Campbells
Floor 4, Willow House
Cricket Square
Grand Cayman, KY1-9010
Cayman Islands

Dear Campbells,

RE: [FULL LEGAL NAME OF TRUST (the “Trust”) – Trustee Declaration]

As requested, we are pleased to confirm that as trustee of the Trust, as of the date hereof and according to the documentation of the [irrevocable/revocable] Trust established on [insert date] under the laws of [insert jurisdiction], the following persons are mentioned as relevant parties to the Trust.

Settlor(s) / Grantor(s)

We confirm that the following persons are mentioned as the settlor(s) of the Trust:

Full Legal Name	Date of Birth (DD-MM-YYYY)	Profession	Residential Address

Beneficiaries (Primary and Contingent)

We confirm that all beneficiaries of the trust are unborn heirs.

Or

We confirm that the following person(s) are of legal age (18 years) and are mentioned as beneficiaries of the Trust:

Full Legal Name	Date of Birth (DD-MM-YYYY)	Relation to Settlor	Residential Address

Or

We confirm that the following charities/foundations are the sole beneficiaries of the trust.

Name:

Address:

Enforcer/ Protector / Authorised person

We confirm that there is no enforcer, protector or authorised person of the Trust.

OR

We confirm that the following persons are mentioned as an enforcer, protector or authorised person of the Trust:

<i>Full Legal Name</i>	<i>Date of Birth (DD-MM-YYYY)</i>	<i>Profession</i>	<i>Residential Address</i>

Purpose and Assets of the Trust

Trustee Declaration

I/We hereby confirm that the information provided herein is accurate, correct and complete and that the documents submitted along with this letter are genuine. I understand to inform Campbells in writing of any changes to the information already provided.

Position or Capacity:.....

Contact Address:.....

Contact Telephone:.....

Contact Email Address:.....

Regulatory License (if applicable):



CAMPBELLS SAMPLE – FOUNDATION CONFIRMATION LETTER

[On Letterhead]

[DD Month YYYY]

Campbells
Floor 4, Willow House
Cricket Square
Grand Cayman, KY1-9010
Cayman Islands

Dear Campbells,

RE: [FULL LEGAL NAME] (the “Foundation”) – Foundation Confirmation Letter

As requested, we are pleased to confirm that as the Secretary of the Foundation Council, as of the date hereof and according to the documentation of the Foundation established on [insert date] under the laws of [insert jurisdiction], the following persons are mentioned as relevant parties to the Foundation.

Founder(s) / Initiator(s)

We confirm that the following person(s) are mentioned as the Founder(s) of the Foundation:

<i>Full Legal Name</i>	<i>Date of Birth (DD-MM-YYYY)</i>	<i>Profession</i>	<i>Residential Address</i>

Beneficiaries (Primary and Contingent)

We confirm that all beneficiaries of the Foundation are unborn heirs.

OR

We confirm that the following person(s) are of legal age (18 years) and are mentioned as beneficiaries of the Foundation:

<i>Full Legal Name</i>	<i>Date of Birth (DD-MM-YYYY)</i>	<i>Relation to Founder</i>	<i>Residential Address</i>

OR

We confirm that the following charities/foundations are the sole beneficiaries of the Foundation.

<i>Full Legal Name</i>	<i>Date of Birth (DD-MM-YYYY)</i>	<i>Website</i>

Foundation Council Members

We confirm that the following persons are mentioned as members of the Foundation Council:

<i>Full Legal Name</i>	<i>Date of Birth (DD-MM-YYYY)</i>	<i>Profession</i>	<i>Residential Address</i>

Executor/ Protector / Administrator

We confirm that there is no enforcer, protector, administrator or authorised person of the Foundation.

OR

We confirm that the following persons are mentioned as an enforcer, protector or authorised person of the Foundation:

<i>Full Legal Name</i>	<i>Date of Birth (DD-MM-YYYY)</i>	<i>Profession</i>	<i>Residential Address</i>



Purpose and Assets of the Foundation

Please provide sufficient information to allow us to understand the assets and/or property held by the Trust

Secretary of Foundation Declaration

I/We hereby confirm that the information provided herein is accurate, correct and complete and that the documents submitted along with this letter are genuine. I understand to inform Campbells in writing of any changes to the information already provided.

Position or Capacity:

Contact Address:.....

Contact Telephone:.....

Contact Email Address:.....

Regulatory License (if applicable):



CAMPBELLS SAMPLE – ADMINISTRATOR AML/CTF COMFORT LETTER

[To be provided on company letterhead]

[DD Month YYYY]

Campbells
Floor 4, Willow House
Cricket Square
Grand Cayman, KY1-9010
Cayman Islands

RE: AML Comfort Letter – [Name of Fund(s)]

Dear Sirs,

[Full Legal Name of Administrator] is a licensed [Type of License and License Number], established in [Year established] and operating under the laws of [Jurisdiction of Licensing]. As an authorised institution, regulated by [Name of Regulatory Authority], the competent authority for the supervision of [financial services institutions] in the aforementioned country, we hereby confirm that:

1. We maintain Anti Money Laundering & Counter Terrorist Financing (“AML/CTF”) policies and procedures applicable to all employees and have an on-going training program. We have implemented related procedures and controls including a procedure on suspicious activity reports;
2. We perform risk assessments for all underlying investors, mandates and proxy holders using a combination of relevant risk factors (including source of wealth/funds) prior to entering into a business relationship and obtain information on the purpose and nature of the business relationship (Risk Based Approach);
3. We perform the identification and verification of the identity of the underlying investors based on the initial risk assessment. Where applicable, the identification and verification of the identity of our clients, beneficial owners (10% or more interest or control as required per AML/CFT Regulations of Cayman Islands), other controlling parties and proxy holders is performed, such that the ownership and control structure of the underlying investors in particular legal persons, trusts and similar legal arrangements are understood and risks are assessed;
4. We perform enhanced due diligence on higher risk underlying investors and their beneficial owners, where applicable, including politically exposed persons (“PEP”) and, where a relationship is established with countries or territories which do not or insufficiently apply AML/CTF measures;
5. Prospective customer’s names (individuals, companies and institutions) are screened through official and private blacklists in order to avoid entering into a business relationship with individuals or institutions

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which appear on applicable lists of terrorists or terrorist organisations, or against whom sanctions have been imposed by the EU, UK or United Nations; or with anyone suspected to be involved in a criminal sphere. In addition, we comply with OFAC sanctions programs and perform sanctions screening against the listings of the US Department of Treasury, Office of Foreign Asset Control (“OFAC”);

6. We perform on-going monitoring of the business relationship to maintain Know-Your-Client information current including detection of unusual transactions which are not consistent with the expected business activity, and where necessary, the origin of funds and origin of wealth;
7. We retain investor due diligence documentation during a period of at least five (5) years following the end of the business relationship and will make it available upon written request;
8. We do not enter into business relationships with shell banks or accept shell banks as underlying investors or beneficial owners;
9. We do not enter into business relationship with companies using bearer shares or bearer instruments;

Yours faithfully,

[Full Name]

[Title]

[Contact Email Address]

[Contact Phone Number]

CAMPBELLS - SOURCE OF WEALTH/FUNDS DECLARATION FORM

Campbells has a regulatory requirement to understand and verify the legitimacy of its clients' source of wealth and/or source of funds. This form should be completed by the applicant or the nominated person acting on behalf of the client. All information requested must be provided and all supporting documentation must be submitted with the completed and signed form.

Accordingly, I/We wish to declare the following:

I/We

LAST NAME(s) – First Name(s), Middle Name(s)
OR FULL LEGAL NAME OF ENTITY

At physical address:

(STREET ADDRESS, CITY, STATE/PROVINCE, POSTAL, COUNTRY)

Do hereby declare that my /our wealth or funds originate from the following source(s):

Please provide sufficient information to allow us to understand how you obtained your wealth and/or funds:

Please note that evidence and documentation of this source, as detailed in the Source of Wealth and Source of Funds Guidelines, **must be provided for all applicants**, and Campbells reserves the right to request additional information and/or documentation if deemed necessary.

I/We declare that the information provided in this form is true, accurate and complete. We confirm the wealth/funds originate from legitimate sources, do not derive from criminal activity, and in particular do not constitute the proceeds of money laundering or terrorist financing. I/We agree to provide Campbells with any further information or documentary evidence in respect to the foregoing information.

Signature

Full Legal Name

Capacity (i.e. Client or Authorised Signatory)

Date

**CAMPBELLS - SOURCE OF WEALTH/FUNDS SUPPORTING
EVIDENCE**

Description of source of wealth or funds	Information required	Examples of supporting documents (one of the following)
1. Employment income or savings (basic and/or bonus). <i>If individual owns a company, where he/she is employed, please follow the guidance detailed in 6 below.</i>	<ul style="list-style-type: none"> • Title/Occupation • Employer’s name • Employer’s address • Nature of business operations 	<ul style="list-style-type: none"> • Certified or original (electronic) copybank statement showing receipt of salary; • Certified copy of most recent pay slipand copy of Resume; • Letter from legal counsel or solicitor; or • Letter from employer confirming salaryand years of employment.
2. Investments	<ul style="list-style-type: none"> • Type of investments • Jurisdiction of investments • Nature of investments (i.e.real estate, technology, bonds, stocks. 	<ul style="list-style-type: none"> • Certified or original (electronic) copy investment statement.
3. Maturity or surrender of life policy	<ul style="list-style-type: none"> • Amount received • Policy provider • Policy number/reference • Date of surrender 	<ul style="list-style-type: none"> • Letter from insurer confirmingsurrender; or • Certified copy of closing statement.
4. Sale of investments/liquidation of investment portfolio	<ul style="list-style-type: none"> • Sale amount • Type of investments • Date of sale • Period of time investmentsheld 	<ul style="list-style-type: none"> • Certified copy of surrender statement; • Certified copy of Bank Brokerage statement (<i>clearly showing sale andreceipt of funds & investment on company letterhead</i>); or • Signed letter detailing funds from a regulated or licensed individual and/orcompany.
5. Sale of property	<ul style="list-style-type: none"> • Sold property address • Date of sale • Total sale amount 	<ul style="list-style-type: none"> • Certified copy of sale contract; or • Signed letter from licensed real estate agent.
6. Company sale	<ul style="list-style-type: none"> • Company name • Sale amount • Date of sale 	<ul style="list-style-type: none"> • Letter from licensed or regulated advisor confirming sale; or • Certified copy of sale contract andstatement showing proceeds.
27. Divorce settlement (or any other form of settlement or compensation)	<ul style="list-style-type: none"> • Full name of all parties • Effective date of settlement • Total number of assets in settlement 	<ul style="list-style-type: none"> • Certified copy of court order / agreement; or • Letter from legal counsel or solicitor detailing settlement.

8. Bank loan	<ul style="list-style-type: none"> • Name of issuing bank • Address of issuing bank • Amount to be paid 	<ul style="list-style-type: none"> • Certified or original (electronic) copybank statement showing receipt of loan; or • Certified copy of loan agreement.
9. Inheritance	<ul style="list-style-type: none"> • Name of deceased • Date of death • Relationship to client • Date received • Amount of received 	<ul style="list-style-type: none"> • Letter from a licensed or regulated individual or company, confirming the same; • Certified copy of will; or • Certified grant of probate
10. Dividend Payment	<ul style="list-style-type: none"> • Applicant’s name • Company name • Company address • Amount to be paid 	<ul style="list-style-type: none"> • Certified dividend contract note • Certified or original (electronic) copy of bank statement showing income; • Letter detailing dividends details from licensed or regulated individual or firm;
11. Company Profits	<ul style="list-style-type: none"> • Company name • Company address • Confirmation on the nature and business of the company • Confirmation of affiliation toclient • Amount of annual profit 	<ul style="list-style-type: none"> • Certified copies of the latest auditedfinancial statement; or • Letter from regulated or listed company confirming the same.
12. Gift	<ul style="list-style-type: none"> • Reason for gift • Relationship with client • Total amount • Date received • Identification documents for donor 	<ul style="list-style-type: none"> • The following items are required: <ul style="list-style-type: none"> ○ Letter from donor detailing details of gift; ○ Certified or original (electronic) bankstatement, showing funds received from donor; and ○ Certified identification documentsfor donor. <ul style="list-style-type: none"> ▪ Copy of passport ▪ Certified address verification (dated within the last 6 months) ▪ Source of wealth declaration
13. Pension retirement income	<ul style="list-style-type: none"> • Amount received • Policy provider • Policy number/reference • Date of payment 	<ul style="list-style-type: none"> • Certified or original (electronic) copy ofpension statement; • Certified or original (electronic) copy ofBank statement showing pension income; or • Letter from paying institution.
14. Other (specify)	<ul style="list-style-type: none"> • Nature of income • Date of income received • Total amount received 	<ul style="list-style-type: none"> • Supporting documents to be confirmedby Campbells Compliance Team.

The above list is provided for guidance purposes only; each case will be considered individually.