

Due Diligence Review Guidelines For Self-Certification - Entity	
Entity Name	Southam Financial, LLC
Adoption location	UK
CIN ID	
Local COB System ID	
Date signed	04.16.18
Date received	04.30.18



Use up with date received if not available

Note:
-Highlighted rows can potentially be marked 'N/A'

CRS Review Guidelines - Entity							
Please review each Self-Certification carefully and follow the instructions in the 'Instructions' column to answer every question on the following list. Reviewers are required to complete all questions on this document. If any questions result in an answer of 'No' will be rejected. All rejection answers should be noted in the 'Reviewer's Comments' section of this document.							
Please Note: The answer 'N/A' (Not Applicable) is used in instances where the question potentially does not need to be answered.							
Section	Location Reference	Due Diligence Questions	Mandatory Question?	DO Answer?	Instructions	Notes	
Preliminary Questions	LDD	Have all the mandatory questions been answered?		Yes	If 'No', this form should be rejected.		
		Is this form being submitted on behalf of an entity account?		Yes	If 'No', this form should be rejected.		
		Is the form free of any modifications made after submission by the signor?		Yes	If 'No', this form should be rejected.		
Entity Details	1	Has the account holder provided an answer in the Self-Certification section of the Self-Certification?		Yes	If 'No', this form should be rejected.		
		Has the Tax Residency Certification box in the 'Country of Residence for Tax Purposes and related TIN or functional equivalent' section of the Self-Certification been marked by the account holder?		Yes	If 'No', this form should be rejected.		
		Has the box 'Please check this box to confirm that you have the capacity to sign for the entity identified in Part 1 of this form in respect to all the accounts to which this form relates,' marked by the signor?		Yes	If 'No', this form should be rejected.		
		Has the form been signed?		Yes	If 'No', this form should be rejected.		
		Has the legal name of the entity/branch or organization been provided on the Self-Certification and does the name of the entity/branch or organization that is listed for AML/KYC purposes match the name of the entity/branch or organization provided on the Self-Certification form?	X			If 'No', this form should be rejected.	
		Note: Please reference Appendix A for a list of acceptable AML/KYC documents and please see Appendix B for a list of scenarios where the form should be considered acceptable, even if the information does not match perfectly.					
Entity Details	2	Has the country of incorporation or organization been provided on the Self-Certification and does the country of incorporation or organization that is listed for AML/KYC purposes match the country of incorporation or organization on the provided Self-Certification Form?			If the country of incorporation or organization is not available in KYC/AML records or is not provided in the Self-Certification, mark 'N/A'.		
		Has the current residence address of the Entity, or organization, been provided on the Self-Certification and does the current residence address of the entity, or organization, that was provided for KYC/AML purposes match the address provided on the Self-Certification form?	X			If 'No', this form should be rejected.	
		Has a mailing address of the Entity, or organization, been provided on the Self-Certification and does the mailing address of the entity, or organization, that was provided for KYC/AML purposes match the address provided on the Self-Certification form?				If the mailing address is not available in KYC/AML records, mark 'N/A'.	
		If a commercial register number is provided for KYC/AML purposes, does it match the commercial register number provided on the Self-Certification?				If the mailing address is not provided on the Self-Certification, mark 'N/A'.	
		If a master account number is provided for KYC/AML purposes, does it match the master account number provided on the Self-Certification?				If 'No', this form should be rejected.	
		If no commercial register number has been provided for KYC/AML, mark 'N/A'.				If no commercial register number has been provided on the Self-Certification form, mark 'N/A'.	
Entity Certification	Financial Institution	If the Entity has identified as a Depository Institution, Custodial Institution or Specified Insurance Company, does the KYC/AML information agree with the classification of the Financial Institution?			If no master account number has been provided for KYC/AML, mark 'N/A'.		
		If the Entity has identified as a Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution, does the KYC/AML information agree with the classification of the Financial Institution?				If 'No', this form should be rejected.	
		If the Entity has identified as an other investment Entity, does the KYC/AML information agree with the classification of the Financial Institution?				If the Entity has not been provided for KYC/AML, mark 'N/A'.	
		If the Entity has identified as an Active NFE - a corporation the stock of which is regularly traded on an established securities market or a related entity of such a corporation, did the account holder provide the name of the established securities market on which the corporation is regularly traded?				If 'No', this form should be rejected.	
		If the account holder has identified as an Active NFE - a corporation the stock of which is regularly traded on an established securities market or a related entity of such a corporation, did the account holder provide the name of the name of the regularly traded corporation that the account holder is a Related Entity of?				If the Entity has not identified as an Active NFE - a corporation the stock of which is regularly traded on an established securities market or a related entity of such a corporation, mark as 'N/A'.	
		If provided for KYC/AML purposes, does the established securities market on which the corporation is regularly traded, or the name of the regularly traded corporation that the account holder is a Related Entity of, match what is provided on the Self-Certification form?	X			If 'Yes', mark the following question as 'Yes'.	
Entity Certification	Active NFE	If the Entity has identified as an Active NFE - Governmental Entity, Central Bank or International Organisation, does the KYC/AML information agree with the classification of the Active NFE?			If 'No', this form should be rejected.		
		If the Entity has identified as an Active NFE - Other, does the KYC/AML information agree with the classification of the Active NFE?				If the Entity has not identified as an Active NFE - Governmental Entity, Central Bank or International Organisation, mark as 'N/A'.	
		If the Entity has identified as an Active NFE - Governmental Entity, Central Bank or International Organisation, does the KYC/AML information agree with the classification of the Active NFE?				If 'No', this form should be rejected.	
		If the Entity has identified as an Active NFE - Other, does the KYC/AML information agree with the classification of the Active NFE?				If the Entity has not identified as an Active NFE - Other, mark as 'N/A'.	

For internal use only