

**Primeo Fund – in official liquidation
KYC/AML checklist**

Individual investors

Please provide certified¹ copies of the following documentation:

- 1) photo identification (e.g. current valid Government ID or driver's license);
- 2) proof of address (e.g. utility bill or bank statement which verifies home address but not a mobile telephone bill) not more than 3 months old;
- 3) in addition, please confirm:
 - a) In respect of each individual, that individual's occupation and, where employed, name of employer;
 - b) any former or other name or alias used by any individual referred to; and
 - c) whether any individual referred to is:
 - i. an individual who has been entrusted with a prominent public function in any jurisdiction or by any international organisation;
or
 - ii. an immediate family member, or close associate, of such an individual.

Where the original claimant of record has been succeeded (either through assignment or death) the above will be required for the beneficiary (ies), in addition to the following:

- 1) Will and estate information; and
- 2) Official document appointing the estate trustees (if applicable).

¹ Please note that 'certified' means (i) certified by a lawyer, accountant or notary; (ii) with the words "certified as a true copy" and, where a photograph of an individual is involved, "and the photograph bears a true likeness to [NAME OF INDIVIDUAL]; and (iii) by the certifier including their name, status/qualification, contact details and the date of certification.



Company / legal entity investors²

Please provide the following documentation:

- 1) certified³ copy of a certificate of incorporation, formation or registration (or equivalent);
- 2) certified copy of the constitutional documents (e.g. by laws, memorandum and articles of association, operating agreement, limited liability company agreement, partnership agreement, limited partnership agreement as applicable);
- 3) certificate of change of name (if applicable);
- 4) to the extent not shown in the documents provided in items 1) to 3) above:
 - a) a document or documents showing the address of the registered office of the entity and, if different, its main place of business;
 - b) any trading name(s) of the entity; and
 - c) the principal business of the entity;
- 5) certified copy of a document setting out the ownership chain of the entity, including the register of members/shareholders/ partners (or equivalent);
- 6) certified copy of the up to date register of directors/officers/ list of managers (or equivalent persons who exercise control) of the entity;
- 7) each of the documents set out under the heading "Individual investors" above in respect of each individual:
 - a) Owning or controlling, directly or indirectly⁴, at least 10 per cent. of the legal entity;
 - b) Two of the directors/officers/ managers who are listed in item (6);
 - c) who effectively exercises control over the entity directly or indirectly via other means⁵; or
 - d) on whose behalf the transactions or activities are being conducted.
- 8) certificate of good standing;
- 9) authorised signatory list;
- 10) current financial report.

² For a legal entity that is a limited partnership, please also provide the items listed in (1) to (7) in respect of the general partner.

³ Please note that 'certified' means (i) certified by a lawyer, accountant or notary; (ii) with the words "certified as a true copy" and, where a photograph of an individual is involved, "and the photograph bears a true likeness to [NAME OF INDIVIDUAL]; and (iii) by the certifier including their name, status/qualification, contact details and the date of certification.

⁴ Through shares, voting rights or otherwise.

⁵E.g. partnership agreements, power to appoint senior management, through any outstanding debt that is convertible into voting rights, or a senior managing official.



Trusts

Please provide the following documentation:

- 1) one of the following:
 - a) certified⁶ copy of the trust deed (and any amendments/supplements thereto) of the Trust; or
 - b) certified copy of other documents showing:
 - i. the name of the Trust;
 - ii. the date and place of establishment of the Trust;
 - iii. the general nature of the Trust (e.g. family trust, pension trust, charitable trust);
 - iv. the source of funds;
 - v. the full names and addresses of each trustee of the Trust;
 - vi. the full names and addresses of the settlor of the Trust;
 - vii. the full names and addresses of each beneficiary of the Trust; and
 - viii. the full names and addresses of any protector of the trust;
- 2) each of the documents set out under the heading "Individual investors" above in respect of each individual:
 - a) who is a settlor, trustee or protector of the trust;
 - b) beneficiary or class of beneficiaries; or
 - c) who otherwise effectively exercises control over the trust directly or indirectly (including through a chain of control or ownership⁷, any person who has signatory powers on the account, personal connections, by participating in financing, because of close or intimate family relationships, historical or contractual associations or as a result of default on certain payments).

Please note that after we have received and reviewed these documents, we may be required to ask for further identification and verification documents.

⁶ Please note that 'certified' means (i) certified by a lawyer, accountant or notary; (ii) with the words "certified as a true copy" and, where a photograph of an individual is involved, "and the photograph bears a true likeness to [NAME OF INDIVIDUAL]; and (iii) by the certifier including their name, status/qualification, contact details and the date of certification.

⁷ E.g. partnership agreements, power to appoint senior management, or any outstanding debt that is convertible into voting rights