Additional information request

Source of Wealth & Source of Funds Client Questionnaire

The additional information being requested is for the purpose of supporting Fidelity's requirement to fully address regulatory obligations, specifically those set out in the UK Money Laundering Regulations, and will only be used for this purpose.
This additional information will be processed in accordance with the FIL Privacy statement which you can read at **fidelity.co.uk/privacy-policy**

How to fill in this form:

- Please use black ink and write clearly inside the boxes using capital letters.
- Sections 1, 3, 5, 6 and 7 **MUST be completed**.
- Sections 2 and 4 are only applicable if you have more than one owner or are not the beneficiary owner of the investments.
- We may need to contact you if you don't complete all details correctly.

What's next?

Please send your completed form to:

Fidelity,
PO BOX 391
Tadworth
KT20 9FU

1 Customer information

Surname

First and other names in full

Existing Fidelity account number

Telephone number (in case of query)

Your address – ("Care of" and PO Box are not acceptable. Please ensure the address entered here is your permanent residential address. If this differs from the address held on file by Fidelity for you we may need to seek additional clarification.)

House number/name

Street, city, county and country

Postcode

Date of birth (ddmmyyyy)

Country of Birth

Nationality

Country of tax residence (if different)

2 Please complete ONLY if you have joint ownership of this account

Joint holder 1, surname

Joint holder 1, first and other names in full

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2 Please complete ONLY if you have joint ownership of this account (continued)

Joint holder 2, surname

Joint holder 2, first and other names in full

Joint holder 3, surname

Joint holder 3, first and other names in full

Relationship between joint account holders

3 Please let us know if you are the beneficial owner of the account

Please review the appropriate option that indicates your beneficial ownership relationship and proceed as directed:

a) I am personally entitled to the assets (cash and investments) in this account and hold them for my own benefit. Please mark an X in the box and proceed to Section 5. ☐

b) I hold the assets in this account exclusively for someone else and will take no personal benefit from the account. Please mark an X in the box and proceed to Section 4 ☐

4 Beneficial Ownership

Surname

First and other names in full

Telephone number (in case of query)

Residential address of the beneficiary – ("Care of" and PO Box are not acceptable. Please ensure the address entered here is the permanent residential of beneficiary. If this differs from the address held on file by Fidelity we may need to seek additional clarification.)

House number/name

Street, city, county and country

Postcode

Country of residence

Date of birth (ddmmyyyy)

Nationality

Country of tax residence (if different)

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5a Source of investment contribution

The source of investment contribution refers to the investments you currently hold with Fidelity.

What was your source of this investment? Please mark X in the relevant boxes below:

- ☐ Employment
- ☐ Inheritance
- ☐ Wealth from Partner/Spouse
- ☐ Investments (outside of Fidelity)
- ☐ Gift
- ☐ Property/Real Estate
- ☐ Business Owner Income/Entrepreneur
- ☐ Other – please specify:

5b Source of initial funds

In line with what you have selected in section 5a, please describe the source of the initial funds into this account. This should include both the activity that generated the funds (i.e. salary payments, sale of property, bank loan etc.) and means (i.e. bank transfer, cheque deposit etc.)

5c Future investments with Fidelity

Please describe the type of future investments you are likely to make with Fidelity (e.g. bonus, sale of other investments etc.)
Please describe the frequency of future investing with Fidelity (weekly/monthly/annually)

6 Source of total wealth

We require this information due to regulations for the prevention of financial crime and for us to help protect our customers. Please mark an X in those that apply and fill out the relevant sections on the form.

- [ ] Employment
- [ ] Wealth from Partner/Spouse
- [ ] Gift
- [ ] Business Owner Income/Entrepreneur
- [ ] Property/Real Estate
- [ ] Inheritance
- [ ] Investments (outside of Fidelity)
- [ ] Other

Section A – Employment

Where the wealth has been generated through employment earnings please provide as much information as possible below.

Explanation of major employment roles held throughout career:

- Employer name (current & previous employers)
- Dates of those employments at each entity
- Positions held with each employer
- Employer Industry
- Salary and bonus figures with each employer

Section B – Business owner/Entrepreneur

Where the wealth has arisen from business activities in which you have founded/bought/developed/sold an interest in a business, the following should be documented.

- Date of business incorporation (ddmmyyyy)
- Name of registered and principal address of business
- Nature of business
- Details of where the start-up capital originated from
- Current shareholding
- Value of shares
- Narrative on business growth that occurred including timescales and causes
- Where you have multiple businesses/revenue streams, detail the above for all major wealth generating activities

Section C – Property/Real estate

Where the wealth comes from property/real estate portfolio, the below information should be documented.

Start date (ddmmyyyy)

How was the initial purchase funded?

Detail any portfolio growth

Current number of properties

Locations of properties (full address)

Date of sale (ddmmyyyy)

Amount sold

£ .

Rental income (annual)

Details of any majority holdings

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Section D – Investments outside Fidelity

Where the wealth comes from investment activities outside your investments with Fidelity.
Please provide as much information as possible below.

- Description of asset/investment
- Date of acquisition (ddmmyyyy)
- Initial amount invested
- Amount earned from the investments or asset
- Date of sale (ddmmyyyy) (if applicable)
- Value at sale (if applicable)
- Current value (if applicable)

Section E – Gift

Where the wealth was received as a gift, the following should be documented

Name of benefactor

Relationship to benefactor

Total amount received

£ .

Date received

Type of asset received e.g. cash, non-financial asset

In which country was the benefactor's wealth generated?

How was the benefactor's wealth created? (Please provide details in sections A-D relative to how the benefactor generated their own wealth OR complete details below.)

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6 Source of total wealth (continued)

Section F – Inheritance

Where the wealth has been inherited, the following details should be documented:

What year did you inherit the funds?

How much you inherited?

- If cash, how much?
- If assets, details and estimated values
- If businesses, what percentage? Estimated values? What activities did the business carry out?

Name of benefactor

Relationship to benefactor

In which country was the benefactor's wealth generated?

How was the benefactor's wealth created? (Please provide details in sections A-D relative to how the benefactor generated their own wealth OR complete details below.)

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Source of total wealth (continued)

Section G – Wealth from Spouse/Partner

Where the wealth comes via a partner/spouse, the information should be documented

Name of spouse

Amount received from spouse

£ .

Country where spouse's wealth is generated

Business activity of spouse (Please provide details in sections A-D relative to how your partner/spouse generated their own wealth OR complete details below.)

Section H – Other including Pension

Source of wealth type (e.g. pension income, lottery win, trust fund income, etc)

Please provide further details about the activity which generated your wealth

Value of wealth

£ .

7 Supporting Evidence

Please refer to the cover letter to confirm whether you need to complete this section.

Please provide copies of any documentation in your possession that supports the statements you have made above.

Where this relates to activities that have occurred over an extended period (e.g. salary, bonus etc.), this should ideally cover various points throughout the time period where possible.

If you are unable to provide documentary evidence, **please mark an X in the box and providean explanation below.** ☐

8 Declaration and signature

I confirm that the information provided above is accurate to the best of my knowledge or recollection.

Signature

Date signed (ddmmyyyy)

Full name in block capitals

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