

Nationality and residency questionnaire

Nucleus client relations, PO BOX 26968, Glasgow G2 9DY.

In order to request a nationality, country of residence or tax residency (see Appendix 1 for country list) to be made available on the platform please complete this form and return it to Nucleus client relations.

Requests will be reviewed and a decision provided within 2 business days. To ensure this application is processed swiftly please ensure the following Certified documents are attached with the form:

- Copies of ID and address verification
- A copy of a statement from the client's UK bank account
- A document which verifies the client's source of wealth (see Appendix 2 for examples)

For the Offshore Bond account please check available jurisdiction with Nucleus client relations.

Client name	What is the client's tax residency?
Client date of birth	Are they a tax resident in any other country?
	Yes No (tick the relevant option)
Residential address	If yes please confirm
What is the client's nationality?	Do you have an existing relationship with the client? If yes, please confirm number of years.
Dual nationality (if applicable)	
What is the client's current country of residence?	Do you have robust monitoring controls in place to identify irregular account activity e.g. increased trading activity, contributions, withdrawals?
Is this the client's usual/permanent country of residence?	
Please confirm the investment value (if applicable)	Please provide details of the verified source of funds. (bank account used to fund your new investment)
Please detail the required account type(s) e.g. General account, Pension, Isa, etc.	Account holder's name
	Sort code
	Account number

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Please provide details of the verified source of wealth and attach certified supporting documentation

Occupation (if retired please confirm occupation before retirement)

Earned income (pa)

Please tick the relevant option:

Savings

Property or asset sale

Company profits

Company sale

Pension transfer

Inheritance

Other (what?)

How was the source of wealth verified?

Is this non face-to-face business?

Is the client a politically exposed person (PEP)?

If yes, please provide details of enhanced AML checks completed

Does the client have an account with a UK incorporated bank?

Please advise of any other relevant information in order to support this request.

Please note that if the client does not have an account with a UK incorporated bank, you cannot progress with the application. Please refer to the "list of banks" as noted at <http://www.bankofengland.co.uk/prd/Pages/authorisations/fscs/bankingandsavings.aspx#lists>

Each request will be reviewed on an individual basis by our financial crime analyst.

Requests will be reviewed and a decision provided within 2 business days.

Signed (we require a handwritten signature)

Name

Position

Date

Full name of regulated firm

FCA reference number

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Nationality and Residency Policy

Appendix 1 – Country Risk

This appendix accompanies our Nationality and Residency policy, providing a list of countries which pose an increased or high risk of financial crime, based on assessments by FATF, HM Treasury and Transparency International. It groups countries into three “tiers”:

- Countries falling into Tier 1 are considered low risk. Applications from clients in these countries can be submitted in the normal way.
- Countries classed as Tier 2 are considered to pose an increased risk regarding financial crime and any applications must be referred to the financial crime analyst via Jira to decide whether the business can be submitted (Nationality and Residency questionnaire needs to be completed and attached as a supporting KYC document).
- Countries classed as Tier 3 are considered high risk and we will accept business from clients either resident or a national of those countries on a case by case basis. Applications must be referred to the financial crime analyst via Jira to decide whether the business can be submitted (Nationality and residency questionnaire needs to be completed and attached as a supporting KYC document.)
- Please note, not all countries are included on this list. If you wish to submit an application for a country not on this list please contact client relations.

Any existing clients submitting top ups falling under a combination of countries on Tier 1, 2 and 3 need to be re-assessed by compliance and the N and R questionnaire must be submitted on Jira along with copies of source of wealth evidence and ID and address verification (if not previously provided).

The list is maintained on a quarterly basis by compliance and is subject to change.

Tier 1			
Australia	France	Lithuania	Singapore
Austria	Germany	Luxembourg	Slovenia
Belgium	Hong Kong	Malta	Spain
Canada	Iceland	Netherlands	Sweden
Czech Republic	Ireland	New Zealand	Switzerland
Denmark	Italy	Norway	United Kingdom
Finland	Japan	Portugal	

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Tier 2				
Bahamas	Ghana	Malaysia	Saudi Arabia	Uruguay
Bahrain	Greece	Mauritius	Senegal	Vietnam
Barbados	Grenada	Montenegro	Serbia	Zambia
Botswana	Hungary	Namibia	Seychelles	
Bulgaria	India	Oman	Slovakia	
Chile	Indonesia	Peru	South Africa	
China	Israel	Poland	Taiwan	
Costa Rica	Jamaica	Qatar	Tanzania	
Croatia	Jordan	Romania	Thailand	
Cyprus	Korea (South)	Saint Lucia	Trinidad and Tobago	
Dominica	Kuwait	Saint Vincent &	Tunisia	
Estonia	Latvia	Grenadines	United Arab Emirates	

Tier 3				
Albania	Colombia	Kazakhstan	Nepal	Togo
Algeria	Comoros	Kenya	Nicaragua	Turkey
American Samoa	Cote d'Ivoire/Ivory Coast	Kosovo	Niger	Turkmenistan
Angola	Cuba	Kyrgyzstan	Nigeria	Uganda
Argentina	Djibouti	Laos PDR/Laos Republic	Pakistan	USA
Armenia	Dominican Republic	Lesotho	Panama	Uzbekistan
Azerbaijan	Ecuador	Liberia	Papua New Guinea	Vanuatu
Bangladesh	El Salvador	Macedonia	Paraguay	
Benin	Equatorial Guinea	Madagascar	Philippines	
Bhutan	Ethiopia	Malawi	Russia	
Bolivia	Gabon	Maldives	Rwanda	
Boznia and Herzegovina	Gambia	Mauritania	Sierra Leone	
Brazil	Georgia	Mexico	Solomon Islands	
Burkina Faso	Guatemala	Moldova	Sri Lanka	
Cambodia	Guyana	Mongolia	Suriname	
Cameroon	Haiti	Morocco	Swaziland	
Chad	Honduras	Mozambique	Tajikistan	
			Timor-Leste	

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Appendix 2– Source of wealth documentation

Source	Required documentation
Savings from salary	<ul style="list-style-type: none"> • Certified copy of a payslip • Letter from employer confirming salary on company headed paper • If self-employed; latest audited accounts
Sale / maturity of investments	<ul style="list-style-type: none"> • Certified copy of an investment certificate • Certified Investment cash-in statement • Signed letter from a regulated accountant
Sale of property	<ul style="list-style-type: none"> • Certified copy of the sale contract • Signed letter from the involved solicitor / estate agent
Inheritance	<ul style="list-style-type: none"> • Grant of probate including a copy of the will N.B. this must include the value of the estate • Signed Letter from the solicitor involved in the settlement
Divorce settlement	<ul style="list-style-type: none"> • Certified copy of court order • Signed Letter from the solicitor involved in the settlement
Company sale	<ul style="list-style-type: none"> • Signed letter from solicitor or regulated accountant • Certified copy of contract of sale • Copies of media coverage / companies house records
Gift	<ul style="list-style-type: none"> • A letter from the donor confirming details of the gift along with a document from the list above dependent on the donor's source of wealth
Gambling/lottery win	<p>Confirmation of the name of the organisation providing the winnings, how the money was won, date and amount of winnings, plus one of:</p> <ul style="list-style-type: none"> • Signed letter from the organisation providing the proceeds of the win on letter-headed paper confirming name of winner, date of win and value of winnings; • Bank statement showing deposit of winnings in client's name and referencing the organisation providing the proceeds of the win; • Media coverage of the win showing name of winner, date of win and value of winnings.