

### Client Information Sheet (Individual)

Name and Surname	
Profession/Occupation	
ID Card/Passport Number	
Issuing Country	
Country of Residence	
Nationality	
Place and date of birth	
Residential address in Malta	
Residential address abroad	
Correspondence address (if different from the above)	
Telephone number	T:
Fax number	F:
Mobile phone number	M:
Email address	
VAT Number (if applicable)	
Politically Exposed Person (see attached)	Y <span style="float: right;">N</span>
Acting in own name	Y* <span style="float: right;">N</span> <i>*Please provide us with a valid power of attorney and fill in a separate Client Information Sheet for the third party</i>
Jurisdictions involved	

## Politically Exposed Persons Declaration

We are required to enquire whether you are a Politically Exposed Person (“PEP”) based on the following definition:

PEP’s are natural persons who are or have been entrusted with prominent public functions and include their immediate family members or persons known to be close associates of such persons, but do not include middle ranking or more junior officials.

For the purposes of the definition of ‘politically exposed persons’:

- (a) The term ‘natural persons who are or have been entrusted with prominent public functions’ shall include the following:
- i. Heads of State, Heads of Government, Ministers and Deputy and Assistant Ministers and Parliamentary Secretaries;
  - ii. Members of Parliament;
  - iii. Members of the Courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;
  - iv. Members of courts of auditors, Audit Committees or of the boards of central banks;
  - v. Ambassadors, *charges d’affaires*, and other high-ranking officers in the armed forces;
  - vi. Members of the administrative, management or boards of State-owned corporations,

And where applicable, for the purposes of subparagraphs (i) to (v), shall include positions held at the community or international level;

- (b) The term ‘immediate family members’ shall include the following:
- the spouse, or any partner recognised by national law as equivalent to the spouse;
  - the children and their spouses or partners; and
  - the parents;
- (c) the term ‘persons known to be close associates’ shall include the following:
- a natural person known to have joint beneficial ownership of a body corporate or any other form of legal arrangement, or any other close business relations with that politically exposed person;
  - a natural person who has sole beneficial ownership of a body corporate or any other form of legal arrangement that is known to have been established for the benefit of that politically exposed person.

<input type="checkbox"/>	I declare that I am NOT a Politically Exposed Person as defined above
<input type="checkbox"/>	I declare that I am a Politically Exposed Person as defined above. <i>(Kindly provide details)</i>
PEP Details	<i>(i.e. whether direct or by relation to immediate family member or close associate; if not direct, kindly define relationship with PEP; position held; powers granted by such appointment)</i>

## Source of Wealth and Source of Funds Declaration

Source of Wealth:	<i>Kindly indicate the source from which you have obtained your net worth (i.e. business, inheritance, salaried employment, etc)</i>
For Sellers Only: Source of Item:	<i>Kindly indicate the source of the item to be put on auction (i.e. how it was acquired etc)</i>
For Buyers Only: Source of funds:	<i>Kindly indicate the source from which the funds relative to the transaction are derived (e.g. Bank and Bank account)</i>
Know Your Customer (“KYC”) Documentation:	<p><i>Kindly provide us with the following:</i></p> <ul style="list-style-type: none"> <li>• <i>Certified True Copy of Original Passport or ID Card Document. This must be valid and unexpired, and must include official full name, place and date of birth, permanent residential address, identity reference number and nationality; In the event that the identification document does not show a residential address, to obtain a certified true copy of a utility bill showing the residential address;</i></li> <li>• <i>Where Enhanced Due Diligence applies (e.g. PEPs) we require additional documentation, which may consist of the following (i) the latest tax return, (ii) Bank Statement relative to the account which will be used for payment, (iii) documentation relative to the acquisition of the item.</i></li> </ul> <p><i>The above list is NOT conclusive. We may ask for further documentation as may be deemed necessary.</i></p>

**NB:** Please compile 2 copies of each of the above. All certified true copies must read the following **“This document is a true and certified copy of the original which has been seen and verified by the verifier [signed] [occupation] [date]”** and in cases of photographic images (e.g. passports and ID cards) the document must also read **“The photograph is of a true likeness of the individual”**. All due diligence documentation must be in English or translated to English.

Furthermore, I confirm that:

- the information provided by me and inserted in this document is correct, and
- the documents provided herewith are true copies of original.

.....  
Signature of applicant

.....  
Date