

APPENDIX D

**"ACCEPTABLE APPLICANT'S" CERTIFICATE
For Use with Direct Applicants for Business**

Name of Applicant for Business _____

Address for Applicant for Business _____

I/We confirm that I/We am/are one of the following persons [Please tick as appropriate]

- 1. A licensed bank, building society, investment business, corporate service provider, trust service provider, e-money or money transmission service business in the Isle of Man or a nominee company of that licenceholder.
- 2. An authorised insurance company or insurance manager in the Isle of Man or a nominee company of that authorised insurance company.
- 3. a trustee of a retirement benefits scheme that is authorised under section 3 of the Retirement Benefits Schemes Act 2000 or a nominee company of such a trustee.
- 4. a retirement benefits schemes administrator who is registered under section 36 of the Retirement Benefits Schemes Act 2000 or a nominee company of such a retirement benefits schemes administrator.
- 5. An advocate within the meaning of the Advocates Act 1976,
 A registered legal practitioner within the meaning of the Legal Practitioners Registration Act 1986,
 An accountant carrying out business in or from the Isle of Man,
 Where the professional body's rules embody requirements and procedures equivalent to the Proceeds of Crime (Money Laundering) Code 2010 and the Prevention of Terrorist Financing Code 2011.
 (specify name of professional body
- 6. A person who acts in the course of an external regulated business and is regulated under the law and regulations of a country that is included in the list in Schedule 2 of the Proceeds of Crime (Money Laundering) Code 2010 and the Prevention of Terrorist Financing Code 2011.

(NB persons wishing to make use of the external regulated business category must be regulated or supervised for AML/CFT purposes by an authority or professional body empowered to regulate or supervise such business).

(specify which country

(specify name of regulatory authority

7. A nominee company of a person who acts in the course of an external regulated business and is regulated under the law and regulations of a country that is included in the list in Schedule 2 of the Proceeds of Crime (Money Laundering) Code 2010 and the Prevention of Terrorist Financing Code 2011.

(NB persons wishing to make use of the external regulated business category must be regulated or supervised for AML/CFT purposes by an authority or professional body empowered to regulate or supervise such business).

(specify which country)

(specify name of regulatory authority)

8. A company listed on a recognised stock exchange or a wholly owned subsidiary of such a company.

(NB licenceholders must take reasonable measures to establish whether there is effective control of the company by an individual, group of individuals or another legal person or legal arrangement. If this is the case, those controllers must be considered as beneficial owners and reasonable measures must be taken by licenceholders to verify their identity.)

Signature _____

Job/position _____

Date _____

Note: Licenceholders must have satisfied themselves that any of the persons in 1-8 above are indeed acceptable applicants. Licenceholders therefore must take steps to verify the information provided on this form before proceeding with the application for business.