

Confirmation of Verification of Identity (CVI) certificate



PRIVATE INDIVIDUAL

To be completed by a Financial Conduct Authority Regulated Firm, EU Regulated Financial Services Firm or Non-EU Regulated Financial Services Firm

Section A

Complete a separate certificate for all parties to the contract (eg joint applicants, trustees, settlors, third parties including beneficial owners) where you've checked their identity.

Full name of customer*/ trustee*/
beneficial owner*/ third party
(provide relationship to applicant)*

*Delete as applicable

Date of birth

Current address

Postcode

Previous address
if applicant has changed address in last three months

Postcode

Face to face/Non face to face application*

*Delete as applicable

Please complete the section that applies to you.

Confirmation – Financial Conduct Authority regulated firm

I/we confirm that:

- (a) I/we got the information in the section above from the customer
- (b) the evidence I/we've obtained to confirm the identity of the customer:

[tick only one]

meets the standard evidence set out within the guidance for the UK
Financial Sector issued by JMLSG

or

exceeds the standard evidence (I/we've attached further verification evidence
to this confirmation).

Confirmation – EU regulated financial services firm

We confirm that:

- (a) I/we got the information in section 1 above from the customer
- (b) the evidence we've obtained to confirm the identity of the customer meets the requirements of our national money laundering legislation that implements the EU Money Laundering Directive and any relevant authoritative guidance provided as best practice for the type of business or transaction to which this confirmation relates
- (c) where the underlying evidence confirming the customer's identity is held outside the UK, we'll provide copies of the relevant customer records we're required to keep by local law to UK law enforcement agencies or regulators under court order or any relevant mutual assistance procedure.

Confirmation – EU regulated financial services firm

We confirm that:

- (a) I/we got information in section 1 above from the customer
- (b) the evidence we've obtained to confirm the identity of the customer meets the requirements of local law and regulation;
- (c) where the underlying evidence confirming the customer's identity is held outside the UK, we'll provide copies of the relevant customer records we're required to keep by local law to UK law enforcement agencies or regulators under court order or any relevant mutual assistance procedure.

Section B

I haven't verified the identity of the applicant as Simplified Due Diligence has been applied

Jurisdiction

Full name of regulator firm

Name of regulator

Regulator reference number

Signed#

Name

Position

Date

Company stamp:

This certificate must be signed by the person who has seen the original documentary evidence.

Explanatory notes

- 1 You must complete a separate confirmation for each customer (eg joint holders, trustee cases, beneficial owners and joint life cases). A beneficial owner is an individual other than trustees who controls the management of a trust or other arrangement and any individuals entitled to more than 25% of the property of the trust. Where a third party is involved, for example a payer of contributions who's different from the customer, you must also verify the identity of that person and provide confirmation.
- 2 You can't use this form to verify the identity of any customer who was an existing client of the introducing firm before local anti-money laundering laws or regulations requiring verification came into force.
- 3 This confirmation must carry an original signature, or electronic equivalent.
4. For the source of funds concession, the premium payer and the policyholder must be the same person. We can't accept any third parties.

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