

Annex 1 – Sample Professional Files Declaration

	Client Type ¹	Service Type ²	Product Type ³	Transaction Type ⁴	Transaction Description ⁵	POCA S49(5) Classification ⁶	Source of Instructions ⁷	Client Location ⁸	Transaction Location ⁹
A	Body Corporate	Advisory	Capital Markets	Financial	Initial Public Offering	organisation of contributions for the creation, operation or management of companies ¹⁰	Via New York law firm	Bermuda company	New York
B	Natural person	Advisory	Debt recovery	Real estate	Recovery of Rent Arrears	managing of client monies, securities and other assets ¹¹ ;	Direct from client	Bermuda	Bermuda
C	Body Corporate	Advocacy	Liquidations	Financial	Application to Court for	managing of client monies,	Via Liquidator	Bermuda	Bermuda

¹ Description of Client e.g. natural person, body corporate, trustee, public authority (disclosing whether such client is a Politically Exposed Person for the purposes of Regulations 5, 6 and 6A of the Proceeds of Crime (Anti-Money Laundering and Anti-Terrorist Financing) Regulations 2008 (“Client”).

² Description of Service provided: (a) advocacy before any court or tribunal; or, (b) advisory, whether as to rights, obligations, procedures, structures or otherwise; or, (c) office holder e.g. liquidator, receiver, administrator, mediator, power of attorney; nominee.

³ Description of Product offered by Firm to Client i.e. practice group such as Funds, Insurance, Capital Markets, Debt Recovery, Liquidations

⁴ Nature of Transaction contemplated by Client: (a) financial i.e. any change in the client’s status having value in money or money’s worth; or (b) real estate i.e. going to the acquisition, ownership or management of any interest in real property; or, (c) non-transactional/not applicable.

⁵ Description of Transaction: provide a file name or matter type using the terminology provided in the Annex, or, if none provided, a short statement of the work done on the file

⁶ Classification of Client Activity: state which of the Classes set out in POCA Section 49(5) the Client Transaction falls under, if any:

- o buying and selling real property;
- o managing of client monies, securities and other assets;
- o management of bank, savings or securities accounts;
- o organisation of contributions for the creation, operation or management of companies;
- o creation, operation or management of legal persons or arrangements, and
- o buying and selling business entities.

Refer to the Registration Form Annex 2 in Schedule 3 and the FATF Report for guidance.

⁷ State whether the Client instructed the Firm directly or whether instructions came via an intermediary

⁸ State Country of Residence of Client

⁹ State situs of the Client Transaction

¹⁰ The Client company is raising funds (contributions) for its operation.

¹¹ The Client individual is managing a real estate asset and seeking a transfer of funds (rent).

					Winding-up order	securities and other assets ¹² ;			
D	Natural person	Advocacy	Matrimonial	Divorce Proceedings	Application for Child Custody	Not applicable	Direct from Client	Bermuda	Canada
E	Body Corporate	Office Holder	Company & Commercial	Financial	Acting as receiver on behalf of Bank - Sale of Business in Receivership	managing of client monies, securities and other assets/selling a business ¹³	Direct from Client	Bermuda	Bermuda

¹² The Client company in liquidation is managing its money and assets by way of distribution.

¹³ The Client creditor is realising on security by selling a debtor's business.

