

# SCHEDULES

## SCHEDULE 1

Sections 4, 7 and 9

### APPLICATIONS: REQUIRED INFORMATION

#### PART 1

##### INTRODUCTION

- 1 This Schedule sets out the required information for the purposes of sections 4, 7 and 9.

#### PART 2

##### OVERSEAS ENTITIES

- 2 (1) The required information about an overseas entity is—
- (a) name;
  - (b) country of incorporation or formation;
  - (c) registered or principal office;
  - (d) a service address;
  - (e) an email address;
  - (f) the legal form of the entity and the law by which it is governed;
  - (g) any public register in which it is entered and, if applicable, its registration number in that register.
- (2) In sub-paragraph (1)(g) “public register” means a register kept by a government or public authority in the country in which the overseas entity was incorporated or formed.

#### PART 3

##### REGISTRABLE BENEFICIAL OWNERS

##### *Individuals*

- 3 (1) Where a registrable beneficial owner is an individual, the required information about the owner is—
- (a) name, date of birth and nationality;
  - (b) usual residential address;
  - (c) a service address;
  - (d) the date on which the individual became a registrable beneficial owner in relation to the overseas entity;

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*Status: This is the original version (as it was originally enacted).*

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- (e) which of the conditions in paragraph 6 of Schedule 2 is met in relation to the registrable beneficial owner and a statement as to why that condition is met;
  - (f) whether the individual meets that condition by virtue of being a trustee;
  - (g) whether the individual is a designated person (within the meaning of section 9(2) of the Sanctions and Anti-Money Laundering Act 2018), where that information is publicly available.
- (2) For the purposes of sub-paragraph (1)(a), “name” means a person’s first name (or other forename) and surname, except that in the case of—
- (a) a peer, or
  - (b) an individual usually known by a title,
- the title may be stated instead of the person’s first name (or other forename) and surname or in addition to either or both of them.

#### *Governments and public authorities*

- 4 Where a registrable beneficial owner is a government or public authority, the required information about the owner is—
- (a) name;
  - (b) principal office;
  - (c) a service address;
  - (d) its legal form and the law by which it is governed;
  - (e) the date on which the entity became a registrable beneficial owner in relation to the overseas entity;
  - (f) which of the conditions in paragraph 6 of Schedule 2 is met in relation to the registrable beneficial owner and a statement as to why that condition is met;
  - (g) whether the entity is a designated person (within the meaning of section 9(2) of the Sanctions and Anti-Money Laundering Act 2018), where that information is publicly available.

#### *Other legal entities*

- 5 (1) Where the registrable beneficial owner is a legal entity other than a government or public authority, the required information about the owner is—
- (a) name;
  - (b) registered or principal office;
  - (c) a service address;
  - (d) the legal form of the entity and the law by which it is governed;
  - (e) any public register in which it is entered and, if applicable, its registration number in that register;
  - (f) the date on which the entity became a registrable beneficial owner in relation to the overseas entity;
  - (g) which of the conditions in paragraph 6 of Schedule 2 is met in relation to the registrable beneficial owner and a statement as to why that condition is met;
  - (h) whether the entity meets that condition by virtue of being a trustee;
  - (i) whether the entity is a designated person (within the meaning of section 9(2) of the Sanctions and Anti-Money Laundering Act 2018), where that information is publicly available.

- (2) In sub-paragraph (1)(e) “public register” has the meaning given by paragraph 2(2).

## **PART 4**

### **MANAGING OFFICERS**

#### *Individuals*

- 6 (1) Where a managing officer is an individual, the required information about the officer is—
- (a) name, date of birth and nationality;
  - (b) any former name (unless sub-paragraph (2) applies);
  - (c) usual residential address;
  - (d) a service address (which may be stated as the entity’s registered or principal office);
  - (e) business occupation (if any);
  - (f) a description of the officer’s roles and responsibilities in relation to the entity.
- (2) This sub-paragraph applies in the following cases—
- (a) in the case of a peer or an individual normally known by a British title, where the name is one by which the person was known previous to the adoption of or succession to the title;
  - (b) in the case of any person, where the former name—
    - (i) was changed or disused before the person attained the age of 16 years, or
    - (ii) has been changed or disused for 20 years or more.
- (3) In sub-paragraph (1)(a), “name” has the meaning given by paragraph 3(2).
- (4) For the purposes of sub-paragraph (1)(b), “former name” means a name by which the individual was formerly known for business purposes.
- Where a person is or was formerly known by more than one such name, each of them must be stated.

#### *Persons other than individuals*

- 7 (1) Where a managing officer is not an individual, the required information about the officer is—
- (a) name;
  - (b) registered or principal office;
  - (c) a service address;
  - (d) the legal form of the entity and the law by which it is governed;
  - (e) any public register in which it is entered and, if applicable, its registration number in that register;
  - (f) a description of the officer’s roles and responsibilities in relation to the entity;
  - (g) the name and contact details of an individual who may be contacted about the managing officer.
- (2) In sub-paragraph (1)(e) “public register” has the meaning given by paragraph 2(2).

- (3) In sub-paragraph (1)(g), “name” has the meaning given by paragraph 3(2).

## PART 5

### TRUSTS

- 8 (1) The required information about a trust is—
- (a) the name of the trust or, if it does not have a name, a description by which it may be identified;
  - (b) the date on which the trust was created;
  - (c) in relation to each person who has at any time been a registrable beneficial owner in relation to the overseas entity by virtue of being a trustee of the trust—
    - (i) the person’s name,
    - (ii) the date on which the person became a registrable beneficial owner in that capacity, and
    - (iii) if relevant, the date on which the person ceased to be a registrable beneficial owner in that capacity;
  - (d) in relation to each beneficiary under the trust, the information that would be required under paragraph 3(1)(a) to (c) or 5(1)(a) to (e) if the beneficiary were a registrable beneficial owner in relation to the overseas entity;
  - (e) in relation to each settlor or grantor, the information that would be required under paragraph 3(1)(a) to (c) or 5(1)(a) to (e) if the settlor or grantor were a registrable beneficial owner in relation to the overseas entity;
  - (f) in relation to any interested person (see sub-paragraph (3))—
    - (i) the information that would be required under paragraph 3(1)(a) to (c) or 5(1)(a) to (e) if the interested person were a registrable beneficial owner in relation to the overseas entity, and
    - (ii) the date on which the person became an interested person.
- (2) In sub-paragraph (1)(c), “name”, in relation to an individual, has the meaning given by paragraph 3(2).
- (3) In sub-paragraph (1)(f), “interested person”, in relation to a trust, means any person who, under the terms of the trust, has rights in respect of—
- (a) the appointment or removal of trustees, or
  - (b) the exercise by the trustees of their functions.

## PART 6

### POWERS TO MAKE FURTHER PROVISION UNDER THIS SCHEDULE

- 9 (1) The Secretary of State may by regulations make further provision about the information required by paragraphs 2 to 8.
- (2) Regulations under this paragraph are subject to the negative resolution procedure.
- 10 (1) The Secretary of State may by regulations amend this Schedule so as to add to or remove from any list of information in this Schedule.
- (2) Regulations under this paragraph are subject to the affirmative resolution procedure.