

Appendix 11 : Associated Person Due Diligence Questionnaire

London Branch - Vendor Selection Score Sheet

Associated Person (Third Party) If the identified red flag relates to Public Official and/or PEP or PEP Associate, provide additional information to questions 6, 7, 10, 11, 12 and 13.	
Please attach documental evidence where appropriate	
1. Full legal Name (if service is done by an entity) For both (Standard and Enhanced Due Diligence)	MITREFINCH LIMITED
2. Has the company provided service to ISPL in the past? If yes, provide detail Standard and Enhanced Due Diligence	Yes HR Software
3. Full Name (if service is done by individuals) Standard and Enhanced Due Diligence	
4. Nature of service provided to ISPL (Example - accountancy or IT consultants) Standard and Enhanced Due Diligence	052 IT COSTS- HARDWARE/SOFTWARE SUPPLIE
5. Is the Financial Crime Risk considered high Yes/No (e.g. PEPs, adverse news & Geographical location – identified from: World Check & Google Search) Standard and Enhanced Due Diligence	NO
6. Obtain list of directors.(from Companies house/Dun & Bradstreet – 2 directors) Screen through World Check Standard and Enhanced Due Diligence (Only red flags companies – PEPs speak to Compliance dept)	ASPELL, Jayne Louise KERR, Richard James DOB- January 1974 WILSON, Gordon James DOB- June 1960
7. Registered company number (from Companies house /Dun &Bradstreet) Standard and Enhanced Due Diligence	01326934
8. Country/Date of incorporation(Companies house/Dun & Bradstreet)	24/08/1977

Standard and Enhanced Due Diligence	
9. Public Official or PEP involved yes/no (information from World check) If yes, specify name and role (E.g. Consultant or Director of the corporate company); complete sections 11, 12 and 13 in addition to other sections. (Speak to Compliance team for assistance if required)	NO
10. Reason for classifying as a PEP, PEP Associate or Public Official (Please refer to the ABC DD Procedure for the definition of a PEP or Public Official). Enhanced Due Diligence (Red Flags companies only)	
11. Brief description of career history or business activities (for PEP) Enhanced Due Diligence (Red Flags companies only)	
12. Negative information identified on the PEP or Public Official or the entity. Yes/no. If you provide details. Enhanced Due Diligence (Red Flags companies only) (Google/World check search)	
13. Registered address. Contact name and details (information from companies house/Dun & Bradstreet/Actual companies website) Standard and Enhanced Due Diligence	Mitrefinch Limited The Mailbox Level 3 101 Wharfside Street Birmingham United Kingdom B1 1RF
14. Registered company address (if different from above) Standard and Enhanced Due Diligence	
15. Website (if applicable) address Standard and Enhanced Due Diligence	www.oneadvanced.com https://www.mitrefinch.co.uk/
16. Ownership structure (companies house/Dun & Bradstreet. If not, through internet search with evidence. CEO will also be accepted with through internet search with evidence) Standard and Enhanced Due Diligence	See D&B report Domestic parent ADVANCED BUSINESS SOFTWARE AND SOLUTIONS Ltd Immediate-MITREFINCH HOLDINGS Ltd
17. World Check screening of the entity	See WC reports

Standard and Enhanced Due Diligence(Please provide all World Check reports even if there are no hits	
18. World Check screening of the entity, shareholders and the directors Standard and Enhanced Due Diligence (Red Flags companies/individuals only)	See WC reports
19. Internet searches performed as per DD Procedures. (Appendix “Due Diligence Screening Requirements on Recipients / Donors of Gifts and Entertainment”) Negative information on the entity: if yes, provide relevant details. (Perform negative internet searches using the following negative search string “Name of individual or company [SUBJECT] AND “fraud” OR “lien” OR “judgment” OR “suit” OR “convict” OR “investigate” OR “allege” OR “bankrupt” OR “crime” OR “scheme” OR “enquiry” OR “settlement” OR “discipline” OR “plea” OR “terror” OR “arrest” OR “launder” OR “drug” OR “cartel” OR “traffic” OR “bribe” OR “court” OR “charge” OR “scam” OR “bar” OR “narcotic” OR “guilty” OR “hearing” OR “enforcement” OR “barred” Standard and Enhanced Due Diligence	See internet searches
20. New/Reviewed Standard (reviewed every 2 years) and Enhanced (reviewed every year)	VENDOR CODE 1571 reviewed
Prepared By & Date: John B Curl 26/05/2023 Checked By & Date: Approved/Authorised By & Date: N.G. 07/06/23	Signature:  Signature:  Signature: