

Mr lam Big
Any number
Any street
Any county
XYZ 123

Date: 01/12/2016

Dear Mr Big

Notice issued under Regulation 6 of the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulations 2016

Interests in Small Enterprises Limited

The Directors of Small Enterprises Limited (Company No 123456) has reasonable to believe that you have a beneficial ownership in the company. The term 'Beneficial Owner' is defined in Section 2 (1) of SI 560/2016 with reference to the 4th EU Anti Money Laundering Directive Regulation 6 which sets out as follows:

6 'Beneficial owner' means any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

(a) in the case of corporate entities:

(i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information.

A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership. This applies without prejudice to the right of Member States to decide that a lower percentage may be an indication of ownership or control. Control through other means may be determined, inter alia, in accordance with the criteria in Article 22(1) to (5) of Directive 2013/34/EU of the European Parliament and of the Council

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

The Directors of the company are formally issuing you notice under Regulation 6 of the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulations 2016. Regulation 6 requires that you respond within a calendar month of the date of this notice.

Your requirements are as follows:

- (i) Confirm that you are, or are not a Beneficial Owner of Small Enterprises Limited with reference to the definition included above

- (ii) If you are a beneficial owner you must furnish Small Enterprises Limited with the particulars requested below and confirm that they are correct.

Name	
Address 1	
Address 2	
Address 3	
Post Code	
Date of Birth	
Nationality	
Details of ownership/controlling interest	

As set out above you are required by Regulation 6(3) to comply with this notice no later than one month beginning with the date of this notice and it should be pointed out that non-compliance is a criminal offence.

Please return your response to Company Name, Address 1, Address 2, Address 3.

Yours faithfully

Mr Com Pliance

Director