

INTRODUCTION & CASE SETUP

INTRODUCER INFORMATION

Introducer Full Name (Entity)

:

Introducer Full Name (Individual)

:

E-Mail

:

Contact Number

:

Date Case Opened :

D

D

M

M

Y

Y

KEY PARTIES & ROLE SUMMARY

Role	Name	Entity Type	Notes
Policyholder			
Insured Life			
Beneficiary(ies)			
Investment Advisor/ Manager			
IDF Name (if applicable)			
IDF Manager			
Custodian Bank(s) (if applicable)			

POLICYHOLDER INFORMATION

Policyholder Full
Legal Name

:

Name of
Controlling
Person (s)

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

SingleMarriedDivorcedSeparated

CorporationLLCTrustPartnershipFoundation

Other (specify)

Nationality/
Country of
Registration

:

Gender

MaleFemale

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Tax Identification
Number (TIN)

:

Legal Entity Identifier
(LEI) or Other

:

E-Mail

:

Nationality / Country of Registration refers to your citizenship if you are an individual, or the jurisdiction in which your entity (e.g. company, trust, LLC) is legally formed and registered. Country of Legal Residence / Domicile refers to the country where you or your entity ordinarily reside or maintain a principal place of business or administration. Country(ies) of Tax Residence refers to all countries where you or your entity are considered a tax resident under local law and are subject to tax reporting obligations. This may include multiple jurisdictions.

CONTROLLING PERSON

Controlling
Person Full Legal
Name

:

Place Of Birth

:

Date Of Birth

:

D

D

M

M

Y

Y

Residential
Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Nationality

:

Gender

Male

Female

Country of Legal
Residence

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

E-Mail

:

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INSURED LIFE INFORMATION (1)

Insured Life Full
Legal Name

:

Place Of Birth

:

Date Of Birth

:

D

D

M

M

Y

Y

Residential
Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Nationality

:

Gender

Male

Female

Country of Legal
Residence

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

E-Mail

:

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INSURED LIFE INFORMATION (2)

Insured Life Full
Legal Name

:

Place Of Birth

:

Date Of Birth

:

D

D

M

M

Y

Y

Residential
Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Nationality

:

Gender

Male

Female

Country of Legal
Residence

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

E-Mail

:

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BENEFICIARY INFORMATION (1)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

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BENEFICIARY INFORMATION (2)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

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BENEFICIARY INFORMATION (3)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

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BENEFICIARY INFORMATION (4)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

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BENEFICIARY INFORMATION (5)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

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BENEFICIARY INFORMATION (6)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

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BENEFICIARY INFORMATION (7)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

Nationality / Country of Registration refers to your citizenship if you are an individual, or the jurisdiction in which your entity (e.g. company, trust, LLC) is legally formed and registered. Country of Legal Residence / Domicile refers to the country where you or your entity ordinarily reside or maintain a principal place of business or administration. Country(ies) of Tax Residence refers to all countries where you or your entity are considered a tax resident under local law and are subject to tax reporting obligations. This may include multiple jurisdictions.

BENEFICIARY INFORMATION (8)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

Nationality / Country of Registration refers to your citizenship if you are an individual, or the jurisdiction in which your entity (e.g. company, trust, LLC) is legally formed and registered. Country of Legal Residence / Domicile refers to the country where you or your entity ordinarily reside or maintain a principal place of business or administration. Country(ies) of Tax Residence refers to all countries where you or your entity are considered a tax resident under local law and are subject to tax reporting obligations. This may include multiple jurisdictions.

BENEFICIARY INFORMATION (9)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

Nationality / Country of Registration refers to your citizenship if you are an individual, or the jurisdiction in which your entity (e.g. company, trust, LLC) is legally formed and registered. Country of Legal Residence / Domicile refers to the country where you or your entity ordinarily reside or maintain a principal place of business or administration. Country(ies) of Tax Residence refers to all countries where you or your entity are considered a tax resident under local law and are subject to tax reporting obligations. This may include multiple jurisdictions.

BENEFICIARY INFORMATION (10)

Beneficiary Full
Legal Name

:

Place Of Birth/
Establishment

:

Date Of Birth/
Establishment

:

D

D

M

M

Y

Y

Residential/
Registered Address

:

Postcode/ ZIP

:

City

Country

:

Status

:

Single

Married

Divorced

Separated

Smoker Status

:

Smoker

Non-Smoker

Beneficiary Death Benefit Allocation (%)

:

Designation of Beneficiary

:

Revocable

Irrevocable

Nationality/
Country of
Registration

:

Gender

Male

Female

Country of Legal
Residence/
Domicile

:

Countries of Tax
Residence

:

Passport Number

:

Country of
Issuance

:

Relationship to
Policyholder

:

Relationship to
Insured Life

:

E-Mail

:

Nationality / Country of Registration refers to your citizenship if you are an individual, or the jurisdiction in which your entity (e.g. company, trust, LLC) is legally formed and registered. Country of Legal Residence / Domicile refers to the country where you or your entity ordinarily reside or maintain a principal place of business or administration. Country(ies) of Tax Residence refers to all countries where you or your entity are considered a tax resident under local law and are subject to tax reporting obligations. This may include multiple jurisdictions.

Internal Use Only

POLICYFILE



One Welches, Welches, St. Thomas

+1 246 623 9700

www.geneva-ppli.com

KYC & REQUIREMENTS CHECKLIST



Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
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POLICYHOLDER REQUIRED DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

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CONTROLLING PERSON REQUIRED DOCUMENTS

Controlling
Person Type :

Internal Use Only

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INSURED LIFE (1) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

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INSURED LIFE (2) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

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BENEFICIARY (1) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
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www.geneva-ppli.com

BENEFICIARY (2) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (3) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (4) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (5) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (6) DOCUMENTS

Policyholder
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (7) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (8) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (9) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

BENEFICIARY (10) DOCUMENTS

Policyholder :
Type

Internal Use Only

POLICYFILE



One Welches, Welches, St. Thomas

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www.geneva-ppli.com

POLICY DESIGN & PURPOSE



POLICY INFORMATION - ECONOMIC PROFILE

Purpose of the Policy and Structure

:

Additional Details

:

Estimated Net Worth of the Source of Pemium Individual

:

Source of Wealth for the Policy

:

Distribution Strategy (During Policy Lifetime)

:

E.g. During the insured’s lifetime, policy loans or partial surrenders may be used to generate liquidity for the trust to meet the family’s annual expenses, fund charitable donations, or support business investments.

Distribution Strategy (Post-Death Payout)

:

E.g. Upon the death of the insured, the death benefit is intended to be paid to a discretionary trust, which will allocate funds to beneficiaries over time to support education, generational wealth planning, and tax-efficient distributions aligned with the family’s long-term goals.

Known Triggers for Policy Exit or Surrender

:

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
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POLICY INFORMATION - PREMIUM

Policy Type :

Description	Amount (USD or relevant currency)	Notes (based on initial illustration basis, confirmed transfer)
Proposed Premium		
Final Premium		
Premium Frequency	Annual/ Semi-Annual/ Quarterly/ Monthly	
Premium Years (No. of Years of Expected Premium)		

POLICY INFORMATION - FEE SUMMARY (INTERNAL)

Fee Provided by :

Date Fee Provided :

Controlling Person Fee Approved by :

Date Fee Approved :

GII Fee Approved by :

Date Fee Approved :

Fee Approval Notes :

Notes including communication channel (email, Teams/Zoom/Remote call, telephone call), date, time and any other details.

Fee Type	Frequency	Amount/Rate	Commission Split	Notes
Set-up Fee				
Administration or M&E Fee				
COI				
DAC Fee				
FATCA/ CRS Fee				
Surrender Fee				
Loan Interest Rate				

POLICY INFORMATION - FEE SUMMARY (EXTERNAL)

Fee Type	Frequency	Amount/Rate	Recipient	Notes
Investment Management Fee				
IDF Manager Fee				
Custody Fee				
Legal/ Structuring Fee				
Trustee Fee				
Other				

INVESTMENT PLANNING & EXECUTION

POLICY INFORMATION - INVESTMENT PROFILE (INCEPTION)

Check all that apply and provide additional detail, as applicable.

Asset Class	Included	Est. % of Portfolio	Valuation Support	Notes
Listed Equities (Stocks)				
Listed Equities (Bonds)				
ETFs/Mutual Funds				
Private Equity				
Promissory Note (internal)				
Promissory Note (external)				
Loans Receivable				
Real Estate				
Digital Assets				
Other:				

POLICY INFORMATION - INVESTMENT PROFILE (ON-GOING)

Check all that apply and provide additional detail, as applicable.

Asset Class	Included	Est. % of Portfolio	Valuation Support	Notes
Listed Equities (Stocks)				
Listed Equities (Bonds)				
ETFs/Mutual Funds				
Private Equity				
Promissory Note (internal)				
Promissory Note (external)				
Loans Receivable				
Real Estate				
Digital Assets				
Other:				

POLICY INFORMATION - INVESTMENT NOTES

Date of Change :

D D M M Y Y

Portfolio Change :

Date of Change :

D D M M Y Y

IDF or Investment Manager Change :

Date of Change :

D D M M Y Y

Asset Transfers or Liquidity Events :

Relevant Policyholder/ Board/ Trustee Decisions :

COMMUNICATION & LIFECYCLE MONITORING

POLICYFILE



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POLICY COMMUNICATIONS

D D M M Y Y



Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
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www.geneva-ppli.com

CASE FILE NOTES

Date of Note

:

D

D

M

M

Y

Y

Note by

:

Note(s)

:

Internal Use Only

POLICYFILE

One Welches, Welches, St. Thomas
+1 246 623 9700
www.geneva-ppli.com

CASE FILE NOTES

Date of Note

:

D

D

M

M

Y

Y

Note by

:

Note(s)

: