The smart investment platform

Anti-Money Laundering Process

User Guide

Submitting Anti-Money Laundering for a New Client

Submitting anti-money laundering documentation for a new client to the Novia Global platform is a straightforward process comprised of the following main stages:

Stage 1: Navigate to the Secure Mail tab	• Complete Adviser details at the top of the screen. • Select Submit Client Documents from the dropdown and select the appropriate client type. The documents required will be listed below.
Stage 2: Upload and submit AML documentation	• Upload the required documents for each section and click "send" to submit to Client Services. • Ensure that each document has been certified and any utility bills are dated within three months.
Stage 3: AML documents received and verified by Client Services	• AML verified by Client Services typically within 2 working days. • Client Services may contact Adviser if further documentation is required.
Stage 4: Confirmation to Adviser	• Client Services send a confirmation email to the Adviser once AML documentation has been approved. • The Adviser is now able to place trades on the client's account.

This document should be read in conjunction with Novia Global's Terms & Conditions; it is intended as a guide only and you should contact Client Services for further information if you have a question about the process for a particular client

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