



KYC-Policy

The Investor Information flow goal is to gather the relevant information from investors to fulfill the KYC/AML checks RISE WEALTH TECHNOLOGIES requires to conform to regulations.

The information gathered during the process includes:

Personal Information:

The investor must provide additional information including:

- Full Name
- Birth Date
- If it is an individual or institutional investor
- Gender
- Address and Country of residence
- Optional contact phone number.

Document Check

The investor must provide photos/scans of their ID documents as part of the identity verification process (see KYC verification). Valid documents are:

- Passport (worldwide)
- Driving license (US only)
- National ID (where available)

RISE WEALTH TECHNOLOGIES uses Onfido (“**KYC Partner**”) to perform KYC/AML checks through the Issuing platform Securitize Inc.. As part of the process through the investment flow described before, prospective investors are prompted to load relevant documents and go through the KYC checks. This information is provided to the KYC Partner for verification.

The KYC Partner checks the information and documents and provides a positive report or flags the prospective investor. This flagging includes issues processing the inputted documents (document quality, expiration dates, improper documents, etc), missing or mismatched data, potential matches to people in exclusion lists etc. These exceptions are handled by trained personnel of the issuer and all investigations, checks and exceptions handled, including all decisions made and their rationale/support are documented in the system.

The KYC Partner performs an identity record check, which verifies a user’s name, address and date of birth by cross-referencing their details against credit bureaus, voter registries, utility providers and other trusted sources. This is then combined with an identity document check – which analyses a user’s identity document to verify that it is not fraudulent or compromised.

The KYC partner accepts and validates over 500 separate documents, and passports for over 195 countries.

