

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 Intermediary 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 Intermediary if further documentation is required.

Stage 4: Confirmation to Intermediary

- Client Services send a confirmation email to the Intermediary once AML documentation has been approved.
- The Intermediary is now able to place trades on the client's account.

This document should be read in conjunction with Novia Global Europe'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.