



LYUCOMPANY

## Know Your Client (KYC) Document Checklist

This Know Your Client (“KYC”) Document Checklist (the “Checklist”) is issued by Lyu Company Co., Ltd. (“LC”) for the purpose of conducting the necessary identity verification procedures pursuant to LC’s KYC obligations and for the prevention of money laundering and other unlawful activities.

All clients entering into transactions with LC are requested to submit the documents listed in Appendix 1 to this Checklist.

All documents and information provided by the client shall be strictly maintained and securely stored by LC.

### 1. Due Diligence

LC is required to conduct identity verification and source-of-funds verification (due diligence) regardless of the nature of the transaction, including but not limited to brokerage transactions, charter agreements, management agreements, or any other agreement with LC (or its affiliated companies).

Where the source of funds – particularly the manner in which funds were obtained – or the transaction itself is assessed as presenting a higher risk, LC may require the client (or the client’s professional advisor or other regulated third party) to provide a written explanation or declaration clearly identifying:

- the source of assets and/or funds, and
- the reason for the acquisition of such assets or funds.

Depending on the circumstances, LC may request additional clarification or supporting documentation.

Due diligence is an ongoing and cumulative process. The scope and extent of such due diligence shall be determined by LC in light of the nature and status of the transaction.

In particular, where LC holds client funds in an account, LC may periodically request updated information or additional documentation in order to maintain current and accurate records relating to ongoing transactions.



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## 2. Required Documents

If the client is a corporate entity, please refer to Appendix 1 (1).

If the client is an individual, please refer to Appendix 1 (2).

All documents must be valid and, where applicable, issued within the past three (3) months. A photo driver's license is generally sufficient as proof of identity and address. However, if deemed insufficient, LC may request one or more of the following additional documents:

- Utility bill
- Bank statement
- Tax documentation
- Lease or mortgage documentation
- Voter registration documentation
- Other equivalent proof of address

## 3. Certification

Copies of documents submitted as proof of identity and address may be required to be certified by an appropriate certifier.

Certified copies must be true and accurate copies of the original document.

The certification must clearly include the following:

- Signature of the certifier
- Name and title of the certifier
- Company name and address
- Corporate registration number (if applicable)
- Date of certification

Certification may be provided by:

- Employees of LC holding the position of General Manager or above
- Attorneys, certified public accountants, or notaries engaged by LC

If the client has any questions regarding the above requirements, please contact your LC representative.

January 15, 2025  
Lyu Company Co., Ltd.  
Ryuichi Kamikage  
Representative Director



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## Appendix 1

### (1) Corporate Clients

For each corporate entity or trust, please provide certified copies of the following:

- Certificate of Registered Matters (including full historical record)
- List of Directors / Officers
- (If a foreign corporation) Equivalent documentation and an affidavit by the authorized representative confirming the details of the company

### (2) Individual Clients / Beneficial Owners

For each individual client, or each beneficial owner of a corporate client, please provide certified copies of the following:

- Proof of Identity (passport, national ID card, or photo driver's license)
- Proof of Address



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