

# MEZZARION AGENT / PARTICIPANT ONBOARDING — TIER PACK CHECKLIST (v1.0)

**Use:** Trade Desk + Compliance intake for all intermediaries

**Rule:** No Tier Pack = no access (calls/docs) and no payment eligibility.

## TIER 1 — AGID LEAD INTRODUCER (FEE CLAIMANT / PAYEE)

**Who:** Any person/entity seeking commission rights, non-circumvention protection, or payee status.

### A) Required Documents (Individuals)

- Government-issued photo ID (passport or national ID)
- Proof of residential address (utility bill/bank statement/lease; ≤ 3 months)
- CV / professional profile (LinkedIn acceptable)
- Tax number / TIN (where applicable)
- Proof of bank account in same legal name (bank letter or bank statement showing name + account number/IBAN)
- **Signed NCNDA+IMFPA (AGT version)**
- **Signed BAF — Payee & Banking Authorisation Form (MZRN-FRM-FIN-BAF-AGT-001)**
- **Signed Annex E — Introducer Team Appointment & Indemnity Deed (required if any “team” exists)**

### B) Required Documents (Companies/Firms)

- Certificate of Incorporation / Registration
- Constitutional document (MOI / Articles or equivalent, where applicable)
- Directors list + authorised signatories
- UBO disclosure (≥25% owners/controllers) + IDs for each UBO + controlling director(s)
- Proof of registered address (≤ 3 months where feasible)
- Proof of bank account in company name (bank letter or statement)
- Tax/VAT registration (where applicable)
- Corporate authorisation to sign (board resolution / authority letter / PoA, as applicable)
- **Signed NCNDA+IMFPA (AGT version)**



- **Signed BAF — Payee & Banking Authorisation Form (MZRN-FRM-FIN-BAF-AGT-001)**
- **Signed Annex E — Introducer Team Appointment & Indemnity Deed (required if any “team” exists)**

### **C) Mandatory Screening (run by Mezzarion)**

- Sanctions screening (entity + individuals + UBOs)
- PEP screening (key individuals/UBOs)
- Adverse media screening

#### **Outcome Controls**

- **Payment Eligibility:** Only after BAF verified + screening clear + AGID issued.
- **One-Payee Rule:** Mezzarion pays only the AGID lead; no split payments.

## **TIER 2 — PTID TRANSACTION PARTICIPANT (OBSERVER/ASSISTANT; NO FEE RIGHTS)**

**Who:** Team members/observers who want to sit in on calls or receive limited information to validate the transaction, but are not recognised as fee claimants.

### **A) Required Documents (All PTID participants)**

- Government-issued photo ID (passport or national ID)
- Verified contact details (email + phone)
- **Signed PTU — Deal Participant Undertaking (MZRN-FRM-CMP-PTU-001)**
- Screening clearance (sanctions/PEP/adverse media — run by Mezzarion)

### **B) Additional Requirement (if receiving documents, not just calls)**

- Proof of address (≤ 3 months) **(default requirement for doc-recipient access)**

#### **Outcome Controls**

- **No Fee Rights:** PTID participants cannot claim fees or non-circumvention economics against Mezzarion.
- **Least Privilege:** Access set as Call-only / View-only / Doc-recipient, per TXID.



## TIER 3 — UNSCREENED / INTAKE-ONLY (NO ACCESS)

**Who:** Unknown broker or contact who has not yet met KYC requirements.

### A) Minimum Intake Required (in writing)

- Principal legal name + country
- Product + spec
- Approx. monthly volume
- Incoterm preference
- Payment method expectation (LC/SBLC/escrow/prepay, etc.)
- Decision-maker contact (name + corporate email + phone)

#### Outcome Controls

- No calls, no meetings, no documents, no counterparty disclosures.
- Upgrade only via Tier 2 (PTID + PTU) for observation, or Tier 1 (AGID + full KYC) for fee protection.

## INTERNAL OPS CHECKS (MEZZARION USE)

- TXID created for the opportunity (if proceeding)
- TTR updated (MZRN-REG-OPS-TTR-001): AGID lead + PTID participants + access levels + approvals
- Fee Confirmation issued (Annex C) **before any fee is deemed agreed**
- BAF verified before any payment processing
- Exception memo + CEO approval recorded for any deviation (split payee, access without screening, etc.)