



## INVESTOR QUALIFICATION

# Qualified Investor Accreditation Checklist

Verification Standards, Documentation Requirements, and Recordkeeping

### Unykorn Capital Markets

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### Classification:

Restricted — BD Only

### Date:

March 2026

## OVERVIEW

For 506(c) offerings, issuers must take reasonable steps to verify accredited investor status. SEC safe harbor methods: (1) income verification using IRS forms for the two most recent years plus investor representation of expectation to qualify in the current year; (2) net worth verification using bank and brokerage statements plus credit report; (3) written confirmation from a licensed attorney, CPA, registered investment adviser, or registered broker-dealer; (4) prior platform verification re-confirmation for investors who verified within the preceding 5 years.

For institutional accredited investor eligibility, the platform also supports: entity accreditation under Rule 501(a)(3) (organizations with over \$5M in assets), 501(a)(7) for registered broker-dealers, 501(a)(8) for investment companies, and Qualified Purchaser designation under the Investment Company Act for entities with \$25M or more in investments.

All verification documents are collected through the platform's secure upload module, reviewed, and returned with a verified status record containing the reviewer's identity, date, method employed, and document references. Records are retained for 7 years in the compliance vault, accessible for production to regulators or auditors on request.



## PARTNER IMPLEMENTATION CHECKLIST

- 1 Select verification method appropriate for each investor type
- 2 Collect income or net worth documents per SEC safe harbor method
- 3 Obtain third-party letter for attorney/CPA/RIA verification
- 4 Process entity accreditation documentation for institutional investors
- 5 Confirm QP designation documentation for Qualified Purchaser status
- 6 Log verification decision and method in the compliance vault
- 7 Retain all records for a minimum of 7 years with audit-ready access

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### NEXT STEPS — Unykorn Capital Markets Partnership Desk

**BD Partnerships:** partners@unkorn.org  
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