

London

- Ind. New Business, T-019
- Ind. Retirement and Investment Services, T-424

Regina

- Ind. Client Service, CLP-5

Montreal

- Ind. Client Service, Suite 540
- Ind. Retirement and Investment Services, R5301

Politically exposed person (PEP) determination and/or Head of an international organization (HIO)

When to complete this form

Insurance products:

This form must be completed for each **applicant, owner, policy holder or account holder and person who is paying** an initial scheduled payment of \$100,000 or more, or an unscheduled payment of \$100,000 or more into any of the following products, or as an additional contribution to a:

- Non-registered investment savings policy
- Non-registered deferred or immediate payout annuity
- Life insurance policy

Instructions for the applicant/owner/policy holder/account holder/payor:

1. If there is more than one owner and/or person making payments, each must complete their own form.
2. Return this form to your advisor.

Instructions for the advisor:

1. Review the recorded information for accuracy and correctness, and complete section 6.
2. Send this form to the appropriate terminal number at head office.

1. The person to be determined (the applicant, owner, policy holder, account holder or payor)

Complete this section for each person that is an applicant, policy holder, account holder or payor.

Name (first, middle, last)	Application/policy/contract/client ID number
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2. PEP and/or HIO question

To the best of your knowledge, were or are you, or any family member, and/or close associate, and/or a person on whose behalf you are making a payment, a politically exposed person (PEP) and/or a Head of an international organization (HIO)? **Review the tables below to help answer this question.**

Yes

No, **go to Section 5**

2.1 Type of relationship

Family member	Close associate
<ul style="list-style-type: none"> • Yourself • Spouse: includes a common-law/de facto partner, civil union (QC), and domestic partner (NS) • Children: includes biological and adopted children • Parents: includes biological and adoptive parents • Parents-in-law: includes those of common law/de facto partners, civil unions (QC), domestic partners (NS) • Brothers and sisters: includes biological, half, and adopted siblings 	<p>A person closely associated, for personal or business reasons, such as, but not limited to the following:</p> <ul style="list-style-type: none"> • Business partners with, or who beneficially owns or controls a business with, a PEP or HIO • In a personal relationship with a PEP or HIO • Involved in financial transactions with a PEP or HIO • Prominent member of the same political party or union as a PEP or HIO • Person serving as a member of the same board as a PEP or HIO • Person closely carrying out charitable works with a PEP or HIO • Other relationship (specify in Section 3)

2.2 Politically Exposed Person (PEP) - positions held in or on behalf of a state

Domestic	Foreign
<ul style="list-style-type: none"> • Governor General, Lieutenant Governor or head of government • Member of the Senate or House of Commons or member of a legislature • Deputy minister or equivalent rank • Ambassador, or attaché or counsellor of an ambassador • Military officer with a rank of general or above • President of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province • Head of a government agency • Judge of an appellate court in a province, the Federal Court of Appeal or the Supreme Court of Canada • Leader or president of a political party represented in a legislature • Holder of any prescribed office or position in Canada • Mayor 	<ul style="list-style-type: none"> • Head of state or government • Member of the executive council of government or member of a legislature • Deputy minister or equivalent rank • Ambassador, or attaché or counsellor of an ambassador • Military officer with a rank of general or above • President of a state-owned company or state-owned bank • Head of governmental agency • Judge of a supreme court, constitutional court or other court of last resort • Leader or president of a political party represented in a legislature • Holder of any prescribed office or position

2.3 Head of an International Organization (HIO)

A head of an international organization that is established by the governments of states, or the head of an institution established by any such organizations (e.g., United Nations, NATO, UNICEF, etc.)

3. PEP/HIO identity information

Politically exposed person or head of an international organization

Name (first, middle, last)	
Office or position title (if more than one, list most recent)	Time period the office or position title was held
Organization name	Country or jurisdiction where position held
Type of relationship (from Section 2.1) to applicant/owner/policy holder/account holder/payor	

Identify additional persons by providing the requested information from the table above on a separate page and attach to this form. Include the application/policy/contract/client ID number and the applicant/policy holder/account holder or payor names, signed and dated.

4. Original source of funds used to make the payment

Provide the original source for the payment (select all that apply)

- Salary or earned income Inherited funds
 Borrowed funds Sale of physical property or business
 Gifted funds Other (specify): _____

5. Declaration of applicant/policy holder/account holder/payor

By signing below, you confirm that:

To the best of your knowledge, you declare that the answers and statements given are complete and true.

Signature X	Date (dd/mmm/yyyy)
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6. Signature of advisor¹

By signing below, you confirm that:

To the best of your knowledge or belief, you declare that the answers and statements given are complete and true.

Name	Advisor code
Signature X	Date (dd/mmm/yyyy)

¹In Quebec, advisor refers to a financial security advisor for individual insurance policies.