

Form for determining if an individual is a foreign politically exposed person (foreign PEP), domestic politically exposed person (domestic PEP), head of an international organization (HIO) or close associate

Name of legal entity	If different:
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Section 1 – Client identification

<input type="checkbox"/> Mr.	Last name	First name
<input type="checkbox"/> Ms.		
Member/client/account/folio No.		Unique identifier No.
<input type="checkbox"/> Foreign PEP	<input type="checkbox"/> Member/client	
<input type="checkbox"/> Domestic PEP	<input type="checkbox"/> Family member	
<input type="checkbox"/> HIO	<input type="checkbox"/> Close associate for personal or business reasons	

Section 2 – Identification of an individual who is or has been a foreign or domestic PEP/HIO/close associat

First and last name of foreign PEP/domestic PEP/HIO/close associate

Name of organization or institution	Position or office held by foreign or domestic PEP/HIO/close associate	
Country	Position start date (YYYY-MM-DD)	Position end date (if applicable)

Section 3 – Circumstances in which the foreign or domestic PEP/HIO/close associate determination is made

- Client call
 Client meeting
 During the process of opening the folio / bank account, credit card or prepaid card
 Screening result
 Wire transfer of \$100,000 or more is received/sent
 Lump-sum payment of \$100,000 or more received for an immediate or deferred annuity or life insurance policy, on their own behalf or at the instruction of someone else
 \$100,000 or more paid to a beneficiary over the duration of an immediate or deferred annuity or a life insurance policy
 \$100,000 or more paid into a prepaid card account
 Other: _____

Date the member/client was determined to be a foreign or domestic PEP or a HIO: _____

Section 4 – Source of funds (Note: If the source of the funds cannot be determined, explain why)

Note: Please provide a detailed explanation of the funds connected to the circumstances of the specific determination. See the definition below for examples of information that needs to be obtained.

Section 5 – Source of wealth (Note: If the source of the wealth cannot be determined, explain why)

Note: See the definition below for examples of information that needs to be obtained.

Section 6 – Authorization

Recommendation/Relevant information

- Open the account Keep the account open Close the account

Name (Member of the Security Office's senior management team)

X

Title/position, please specify:	Date (YYYY-MM-DD)
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Conclusion/final decision

Section 7 – Definitions

7.1 Definition of a foreign PEP

A foreign politically exposed person (foreign PEP) is a person who holds or has held one of the following offices in or on behalf of a **foreign state**:

- Head of state or head of 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 a state-owned bank;
- Head of a government 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.

Any family member of the above-mentioned person is also considered to be a foreign politically exposed person. In this context, a family member means any of the following individuals with respect to the person in question:

- Mother or father;
- Child;
- Spouse or common-law spouse;
- Former spouse or common-law spouse;
- Mother or father of spouse or common-law spouse;
- Brother or sister.

7.2 Definition of a domestic PEP

A domestic politically exposed person (domestic PEP) is a person who holds or has held within the last five years one of the following offices or positions in or on behalf of the **Canadian federal government or the government of any province or municipality in Canada**:

- 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;
- Mayor.

Any family member of the above-mentioned person is also considered to be a domestic politically exposed person. In this context, a family member means any of the following individuals with respect to the person in question:

- Mother or father;
- Child;
- Spouse or common-law spouse;
- Former spouse or common-law spouse;
- Mother or father of spouse or common-law spouse;
- Brother or sister.

7.3 Definition of a HIO

The head of an international organization is a person who is either (or has been within the last five years):

- The head of an international organization established by the governments of states; or
- The head of an institution established by an international organization.

When we refer to the head of an international organization or the head of an institution established by an **international organization**, we are referring to the primary person who leads that organization, such as the president or CEO.

7.4 Definition of a close associate of a PEP or a HIO

A close associate can be an individual who is closely connected to a foreign or domestic PEP or HIO for personal or business reasons. The term "close associate" does not cover every person who has been associated with a PEP or HIO.

Examples of close associates of a foreign or domestic PEP or a HIO include persons who are:

- Business partners with, or who beneficially own or control a business with, a PEP or HIO;
- In a romantic relationship with a PEP or HIO, such as a boyfriend, girlfriend or mistress;
- Involved in financial transactions with a PEP or HIO;
- A prominent member of the same political party or union as a PEP or HIO;
- Serving as a member of the same board as a PEP or HIO;
- Closely carrying out charitable works with a PEP or HIO;
- Listed as a co-holder of a life insurance policy where one of the holders is a PEP or HIO.

The examples provided are only a sample of considerations to help identify close associates. Because not all persons connected to a foreign or domestic PEP or HIO meet the definition of "close associate," the Desjardins Group Security Office will have to determine if this is a close association you need to identify and treat as such.

7.5 Determining a foreign or domestic PEP, HIO or close associate

The circumstances requiring that you determine if the person in question is a foreign or domestic PEP, a HIO or a close associate are outlined in the AML Compliance Manual.

7.6 Source of funds

Source of the funds used for a transaction or deposited to an account. Funds could come from employment income, the sale of assets, the payment of dividends, or the transfer of savings from another institution. Note that the source of funds may also be the source of wealth.

7.7 Source of wealth

The source of all of a person's wealth or assets, including employment, business or investment income, payment of dividends, a trust, an inheritance or the sale of assets. When there are multiple sources of wealth, we recommend indicating the respective percentage of each to ensure a better understanding of the source of total wealth.