

How to complete the PEP disclosure form

In accordance with the *Proceeds of Crime (Money Laundering) and Terrorist Financing Act*, advisors have a responsibility to determine if a client is a politically exposed person (PEP), head of an international organization (HIO), close relative of a PEP or HIO, or a close associate of a PEP or HIO (collectively 'PEP' or 'politically exposed person'). This job aid is designed to help you complete 'in good order' forms in accordance with AML/ATF legislation.

Further information on how to determine if the account holder is considered a PEP can be found in the [Guide for determining if clients are politically exposed persons](#).

Step 1: Indicate which account holder this form relates to. If there is more than one politically exposed person connected with this account, please complete a separate form for each person and include it with this form.

Applicant name Test A. Client		Date of birth (mmm/dd/yyyy) May/05/1970	
Applicant address (number, street, apartment) 123 Any Street		City Any City	Province ON
		Postal code A0A 0A0	
If there is more than one politically exposed person connected to this account, please complete a separate form for each person.			
Is another PEP form attached? <input type="radio"/> No <input checked="" type="radio"/> Yes			
<p>A Politically Exposed Person (PEP) is a person, or a close relative¹ or close associate² of a person, who holds, or has held, certain positions³ in or on behalf of the state. A PEP falls into one or more of these categories:</p> <ul style="list-style-type: none"> • a Politically Exposed Foreign Person (PEFP) holds or has held the position outside Canada • a Politically Exposed Domestic Person (PEDP) holds or has held the position within Canada in the last five years • the Head of an International Organization or an institution established by an international organization⁴ (HIO) 			

Step 2: If you have determined that the account holder or someone connected with the account is considered a politically exposed person, answer all the questions, and provide details about the politically exposed person.

Answer all questions in this section that apply to the PEP.			
Is the applicant, the person contributing the funds, or any close relative or close associate of either person, a PEP? <input type="radio"/> No <input checked="" type="radio"/> Yes If yes, complete the remainder of the section.			
Who is politically exposed? <input checked="" type="radio"/> Applicant <input type="radio"/> Contributor (current or future) <input type="radio"/> Recipient (only applicable when transferring money externally to a third party)			
Name of person who holds or held a political office and/or is the head of an international organization? (first, middle initial last) Test Client		In what country is/was the position held? Canada	
During what time period was the position held? Starting month and year May 2012		Ending month and year May 2020	
Name of organization, agency or government department Ministry of Justice		Title of position held (if applicable) Judge	
What office or position is or was held by the person who is or was politically exposed in a foreign country? (If applicable)			
<input type="radio"/> Head of state or head of government	<input type="radio"/> Member of the executive council of government or member of a legislature	<input type="radio"/> Deputy minister or equivalent rank	<input type="radio"/> Ambassador or ambassador's attaché or counsellor of an ambassador
<input type="radio"/> Military officer with a rank of general or above	<input type="radio"/> President of a state-owned company or bank	<input type="radio"/> Head of a government agency	<input type="radio"/> Judge of a supreme court, constitutional court or other court of last resort
<input type="radio"/> Leader or president of a political party represented in a legislature	<input type="radio"/> Holder of any prescribed office or position		
What office or position is or was held by the person who is or was politically exposed in Canada in the last five years? (If applicable)			
<input type="radio"/> Governor General, Lieutenant Governor, or head of government	<input type="radio"/> Member of the Senate or House of Commons, or member of legislature	<input type="radio"/> Deputy minister or equivalent rank	<input type="radio"/> Ambassador or ambassador's attaché or counsellor of an ambassador
<input type="radio"/> Military officer with a rank of general or above	<input type="radio"/> President of a corporation that is wholly owned directly by Her Majesty in right of Canada or a province	<input type="radio"/> Head of a government agency	<input checked="" type="radio"/> Judge of an appellate court in a province, the Federal Court of Appeal, or the Supreme Court of Canada
<input type="radio"/> Leader or president of a political party represented in a legislature	<input type="radio"/> Holder of any prescribed office or position	<input type="radio"/> Mayor	
<input type="radio"/> The person currently holds, or within the past five years has held, a position as head of an international organization			

Step 3: Indicate the relationship between the person named as a politically exposed person and the account holder.

What is the relationship between the person named above and the applicant?

Self
 Spouse or common-law partner
 Mother or father
 Child (including legally adopted)
 Brother, sister, half-brother or half-sister
 Spouse's or common-law partner's mother or father
 Close associate

Step 4: Indicate the source(s) of funds that are being or will be deposited into the account.

Please indicate source(s) of funds that are being or will be deposited into the account.
 Source of funds refers to the origin of deposit being made into the account.
Check all that apply. Please note that supporting documentation may be requested.

Employment income
 Real estate* (please include address below)
 Investment income*
 Self-employment income*
 Inheritance* (please provide name & relationship below)
 Legal claim or settlement*
 Insurance policy funds*
 Insurance settlement*
 Gift*
 Sale of asset*
 Other*

*Please provide additional details including how the funds were acquired:

Inheritance received from Jane Doe. Grandmother to the account holder.

Step 5: Indicate the source(s) of wealth of the individual/entity contributing the funds.

Please indicate the source(s) of wealth of the individual/entity contributing the funds.
 Source of wealth refers to the individual's/entity's entire body of wealth.
Check all that apply. Please note that supporting documentation may be requested.

Employment income
 Real estate* (please include address below)
 Investment income*
 Self-employment income*
 Inheritance* (please provide name & relationship below)
 Legal claim or settlement*
 Insurance policy funds*
 Insurance settlement*
 Sale of asset*
 Other*

*Please provide additional details including how the individual/entity accumulated their wealth:

Inheritance received from Jane Doe. Grandmother to the account holder.

Step 6: Ensure your client signs the application to confirm the information provided is accurate and that they will immediately notify us of any errors or changes to the information provided on this form.

Applicant authorization

By signing below, you confirm the information provided is complete and accurate. You also agree to promptly notify Manulife Bank should any of this information change.

Signature: **Test A. Client**
 Date (mmm/dd/yyyy): **June/01/2021**