BBS Securities Inc.
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PEP Form (Individual)

FILL OUT THIS FORM ONLY IF:
Applicant(s) or their family member(s) or person(s) connected to this account qualify as Politically Exposed Persons (PEP); Head of an International Organization (HIO); or Close Associate (CA) with a person deemed a PEP and/or HIO.

Definitions:

Family members include the person's children, parents, spouse or common-law partner and parents of the spouse or common-law partner and the children of the person's mother or father.

A **Politically Exposed Foreign Person (PEFP)** is defined as a person who holds or has ever held any of the following offices or positions in or on behalf of a foreign state: Head of State or Government; Member of Executive Council of Government (including Minister), Deputy Minister or equivalent; Member of a Legislature; Ambassador or Ambassador's Attaché or Counselor; Military Officer with a rank of General or higher; President of a state-owned company or bank; Head of Government Agency; Judge; or a Leader or president of a political party in a legislature.

Politically Exposed Domestic Person (PEDP) is defined as a person who holds, has ever held or is considered a Family Member of one of the following offices or positions: 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 legislature; or Mayor*. A person ceases to be a Domestic PEP 5 years after they have left office.
*In line with Canadian legislation, municipal governments include cities, towns, villages, and rural or metropolitan municipalities. A mayor is the head of a city, town, village or rural or metropolitan municipality, regardless of the size or population.

A **Head of an International Organization (HIO)** means the head of an organization, or their Family Member, that is established by the government of states or the head of an institution established by an international organization. Examples of International Organizations are NATO, the United Nations, European Space Agency, Asian Development Bank etc. A more comprehensive listing can be viewed on FINTRAC's website.

Close Associates (CA) are individuals who are closely connected for personal or business reasons to a PEP or HIO. Examples of Close Associates may include: business partners; are in a romantic relationship with; involved in financial transactions; prominent member of the same political party or union; serve on the same board or closely carry out the same charitable work.

1. Who is PEP/HIO/CA?
☐ Applicant or his/her Family Member   ☐ Joint Applicant or his/her Family Member

If there is more than one PEP/HIO/CA connected to this account, please complete a separate form for each person.

2. What is the full name of the PEP/HIO/CA?

First Name _____   Last Name _____

3. What is the relationship of the person named above to the account holder(s)?
☐ Self   ☐ Spouse or Common-law Partner

☐ Child   ☐ Mother or Father

☐ Brother or Sister or Step-Brother or Step-Sister   ☐ Mother or Father of Spouse or Common-law Partner

☐ Other _____

4. In what country and when was the position held?

Country _____   Start Date _____   Termination Date _____
                                                                     DD/MM/YYYY   DD/MM/YYYY
5. What position was held by the person named above?

_____

6. What is the source of funds being or will be deposited in the account? Please mark all boxes that apply.

☐ Employment Income   ☐ Investment Income   ☐ Savings   ☐ Inheritance

☐ Payment for Legal Settlement   ☐ Sale of an Asset   ☐ Gift   ☐ Other _____

Applicant Certification

By signing below, I certify that the information provided above is current, complete and accurate, and I will update this information as soon as there are any change in the future.

Signed this _____ day of _____, 20_____

_____   _____

Name of Applicant   **Signature of Applicant**