



**POLITICALLY EXPOSED PERSON (P.E.P.)  
DECLARATION FOR ENTITIES**

In accordance with the **Money Laundering Prevention Act 2010 (MLPA)** and the **Money Laundering (Prevention) (Guidance Notes) Regulations, (2010)**, there is an obligation for Financial Institutions to undertake Enhanced Customer Due Diligence on clients who are classified as a PEP. As defined by these Acts and adopted within the **First Citizens Group Anti-Money Laundering / Counter Financing of Terrorism Programme**, a PEP shall be considered as an individual who is or has been entrusted with a prominent function either locally or in a foreign country. *See attached sheet for definitions.*

<b>Name of Entity:</b>		
<b>Identification: VAT#:</b>	<b>Co. Reg#:</b>	<b>BIR#:</b>
<b>Legal Address:</b>		
<b>Mailing Address</b> <i>(if different from Legal):</i>		
<b>Date of Incorporation:</b>	<b>Country of Incorporation:</b>	

**Kindly list any Directors, Shareholders (10% or more), Beneficial Owners or Account Signatories that are classified as PEP using the definitions provided.** *(Use a separate sheet if required).*

		<b>PEP</b>		
		<input type="checkbox"/>	<input type="checkbox"/>	
		<b>Yes</b>	<b>No</b>	
1.	..... <i>(Full name in block letters)</i>	..... <i>(Job Title/ Position)</i>	<input type="checkbox"/>	<input type="checkbox"/>
..... <i>(Please indicate function entrusted to this individual from the attached definitions)</i>				
2.	..... <i>(Full name in block letters)</i>	..... <i>(Job Title/ Position)</i>	<input type="checkbox"/>	<input type="checkbox"/>
..... <i>(Please indicate function entrusted to this individual from the attached definitions)</i>				
3.	..... <i>(Full name in block letters)</i>	..... <i>(Job Title/ Position)</i>	<input type="checkbox"/>	<input type="checkbox"/>
..... <i>(Please indicate function entrusted to this individual from the attached definitions)</i>				
4.	..... <i>(Full name in block letters)</i>	..... <i>(Job Title/ Position)</i>	<input type="checkbox"/>	<input type="checkbox"/>
..... <i>(Please indicate function entrusted to this individual from the attached definitions)</i>				



## **Definitions**

**Domestic PEP** – an individual who is or was entrusted with a prominent public function domestically. Includes but not limited to:

- **Head of State** – The President of St Lucia;
- **Head of Government** – The Prime Minister of St Lucia;
- **Senior Members of the Legislature** e.g. The Speaker of the House of Representatives and the President of the Senate;
- **Senior Politicians** - a person elected to office in St. Lucia.
  - E.g. all Members of Parliament, Government Ministers, Mayors, Leader of the Opposition, Assemblyman, , Parliamentary Secretaries;
- **Senior Government Officials** e.g. Permanent Secretaries, Chief Technical Officers, Ambassadors or High Commissioners, Assistant Commissioner of Police or higher rank, any other person appointed as an Accounting Officer under the Exchequer and Audit Act;
- **Senior Judicial Officials** e.g. Chief Justice, Judges of the Supreme Court (Court of Appeal and High Court Judges), Judges of the Industrial Court, Judges of the Caribbean Court of Justice, Masters, Chief Magistrate, Deputy Chief Magistrate, Magistrates, the Registrar, Deputy Registrar and Assistant Registrars;
- **Senior Executives of State-owned Corporations**, including Statutory Bodies, State Enterprises and those bodies in which the State has a controlling interest.
  - All Statutory Bodies and State Enterprises including those bodies in which the state has a controlling interest;
  - Chairman, Deputy Chairman, President or Vice President of the Board of Directors;
  - Managing Director, General Manager, Comptroller, Secretary or Treasurer;
  - Any other person who performs for the body corporate functions similar to those normally performed by the holder of offices specified above and who is duly appointed to perform those functions.
- **Military Officials** – a Lieutenant Colonel or higher rank, Major General, Brigadier General and Colonel; Senior Air Guard Officials: including: Group Captain, Wing Commander and Squadron Leader. Senior Coast Guard Officials including: Rear Admiral, Commodore, Captain and Commander or higher rank;
- **Senior Political Party Officials** e.g. Chairman, Deputy Chairman, Political Leader, Deputy Political Leader, Secretary and Treasurer of a political party registered under the Representation of the People Act Chap. 2:01 or individuals holding equivalent positions in a foreign country.

**Foreign PEP** - an individual who is or have been entrusted with a prominent public function in a foreign country. Refers to individuals in a foreign country holding equivalent positions to the above listed for Domestic PEPs.

**International Organization PEP** - an individual who is or have been entrusted with a prominent function by an international organization, and refers to members of senior management or individuals who have been entrusted with equivalent functions, i.e., Directors, Deputy Directors and members of the board or equivalent functions.

These organizations include but are not limited to:

- United Nations and affiliated international organizations;
- Organization of American States
- Regional international organizations such as the Organization of Eastern Caribbean States, the Council of Europe, institutions of the European Union
- Inter-American Development Bank;
- International Labour Organization;
- Caribbean Financial Action Task Force.

**Immediate Family Member of PEP** - an individual who is related to a PEP either through birth or marriage (current or past). Refers to Spouse (legal or common-law)/ Ex-spouse, Parent, Siblings, Half-Siblings, Children (includes legally adopted children), Children of PEP spouse.

**Close Associate of a PEP** includes any individual publically known or actually known to be a close personal or professional associate of a PEP. For example, a business partner or associate, prominent member of a political party or girlfriend/boyfriend of a PEP.