



POLITICALLY EXPOSED PERSON (P.E.P.) DECLARATION FOR INDIVIDUALS

In accordance with the **Proceeds of Crime Act 2000 (as amended)** and the **Financial Obligations (Amendment) Regulations 2014, Regulation 20(3)**, 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.

YOU ARE REQUIRED TO:

- 1 Select one or as many of the PEP categories below that best describe you - *see back for definitions*;
- 2 Declare your PEP status by selecting the applicable confirmation box;
A response to any of the categories referred to in (1) above would indicate a PEP status.
- 3 Affix your name, signature and date on the designated area below.

1

Domestic PEP or Foreign PEP (please also insert your specific job title below)

- | | | |
|--|---|---|
| <input type="checkbox"/> Head of State | <input type="checkbox"/> Head of Government | <input type="checkbox"/> Senior Member of the Legislature |
| <input type="checkbox"/> Senior Politician | <input type="checkbox"/> Senior Government Official | <input type="checkbox"/> Senior Judicial Officers |
| <input type="checkbox"/> Senior Executive of a State-owned Corporation | <input type="checkbox"/> Military Official | <input type="checkbox"/> Important Political Party Official |

International Organization PEP (please also insert your specific job title below)

- | | |
|---|--|
| <input type="checkbox"/> United Nations and affiliated International Organization | <input type="checkbox"/> Organization of American States |
| <input type="checkbox"/> Inter-American Development Bank | <input type="checkbox"/> International Labour Organization |
| <input type="checkbox"/> Caribbean Financial Action Task Force | |

Job Title:

Immediate Family Member of a PEP (which best describes your relationship to the PEP named below)

- | | | |
|--|---------------------------------|--|
| <input type="checkbox"/> Spouse/ Ex-spouse | <input type="checkbox"/> Parent | <input type="checkbox"/> Sibling |
| <input type="checkbox"/> Half-Sibling | <input type="checkbox"/> Child | <input type="checkbox"/> Other child of PEP's spouse |

Close Associate of a PEP

- Yes. (Please indicate relationship to PEP named below)

Name of PEP
(Block letters)

2

Based on my responses to the above:

- I confirm that **I am** a Politically Exposed Person (PEP)
 I confirm that **I am not** a Politically Exposed Person (PEP)

3

Please note it is your obligation to inform the Bank of a change to any of the above responses subsequent to making this Declaration.

Customer Name:
(Block letters)

Signature: **Date:**

Official Use Only

Customer CIF#:

Bank Officer Name: **Job Title:**
(Witness)

Signature: **Date:**

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 the Republic of Trinidad and Tobago;
- **Head of Government** – The Prime Minister of the Republic of Trinidad and Tobago;
- **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 national, local or Tobago House of Assembly elections; a person appointed to serve as a Senator in the Parliament of Trinidad and Tobago; on the Tobago House of Assembly under the Tobago House of Assembly Act, or as an Alderman in a Municipality or Regional Corporation under the Municipal Corporations Act.
 - E.g. all Members of Parliament, Government Ministers, Mayors, Leader of the Opposition, Assemblyman, Chief Secretary and Deputy Chief Secretary of the Tobago House of Assembly, 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;
- 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.