

THE INSURANCE BROKERS LIMITED

POLITICALLY EXPOSED PERSON (PEP)

DECLARATION FORM

In accordance with the Anti-Money Laundering (AML) legislation and Terrorist Financing Code and on the recommendation of the Financial Action Task Force (FATF) there is an obligation on **THE INSURANCE BROKERS LIMITED** of St Vincent and the Grenadines to undertake Enhanced Customer Due Diligence (ECDD) on those clients who are classified as a Politically Exposed Person (PEP). For definitions of our underlined terms please turn over this document. Ensure you read and understand this form before filling out the relevant sections. By signing the declaration at the bottom of the form you are confirming that you are/ are not a PEP. Please note you are to advise us of any change to your status as a PEP or Non-PEP.

Please complete in **CAPITAL LETTERS**. Where applicable, kindly insert an "X" in the appropriate boxes.

<u>SECTION A: CLIENT AND POLICY DETAILS</u>		
1. POLICY NUMBER:	2. POLICY TYPE:	3. DATE EFFECTED:
4. FIRST NAME:	5. LAST NAME:	
<u>SECTION B: INFORMATION ON POLITICAL EXPOSURE</u>		
6. DO YOU HOLD OR HAVE YOU EVER HELD ANY OF THE POSITIONS LISTED ON PAGE 2? <i>(IF YES, COMPLETE NUMBERS 7 TO 8.)</i>		YES <input type="checkbox"/> NO <input type="checkbox"/>
7. WHAT IS/WAS THE POSITION HELD?	8. PERIOD POSITION WERE HELD:	
9. DO YOU HAVE ANY <u>IMMEDIATE FAMILY MEMBER(S)</u> WHO HOLD OR HELD ANY OF THE POSITIONS LISTED ON PAGE 2? <i>(IF YES, COMPLETE NUMBERS 10 TO 13.)</i>		YES <input type="checkbox"/> NO <input type="checkbox"/>
10. FULL NAME OF PERSON:	11. FAMILY RELATIONSHIP:	
12. POSITION HELD:	13. PERIOD POSITION WERE HELD:	
14. DO YOU HAVE ANY <u>CLOSE ASSOCIATES(S)</u> WHO HOLD OR HELD ANY OF THE POSITIONS LISTED ON PAGE 2? <i>(IF YES, COMPLETE NUMBERS 15 TO 18.)</i>		YES <input type="checkbox"/> NO <input type="checkbox"/>
15. FULL NAME OF PERSON:	16. CLOSE ASSOCIATION BY VIRTUE OF:	
17. POSITION HELD:	18. PERIOD POSITION WERE HELD:	
<u>SECTION C: DECLARATION</u>		
19. I HAVE TO THE BEST OF MY KNOWLEDGE AND BELIEF ANSWERED ALL OF THE ABOVE STATEMENTS AND PARTICULARS CORRECTLY, ACCURATELY AND COMPLETELY. HAVING READ AND UNDERSTOOD THE PROVIDED DEFINITIONS, I DECLARE THAT: <i>(Select only ONE of the following options).</i>		
I AM NOT A <u>POLITICALLY EXPOSED PERSON (PEP)</u> <input type="checkbox"/> I AM A <u>POLITICALLY EXPOSED PESRON (PEP)</u> <input type="checkbox"/>		
20. NAME:	21. SIGNATURE:	22. DATE:

THE INSURANCE BROKERS LIMITED

DEFINITIONS	
a.	Politically Exposed Persons (PEPs) are individuals who are or have been entrusted with prominent public functionaries. Such individuals can be found in Local and International Organisations such as but are not limited to; United Nations and affiliated international organisations, Organization of American States, Inter - American Development Bank, International Labour Organization, and Caribbean Financial Action Task Force.
b.	Immediate Family Members are individuals who are related to PEPs either through birth or marriage. Immediate family member as, "...the spouse, parents, siblings or children" of the PEP and the parents, siblings and additional children of the PEP's spouse."
c.	Close associates are individuals who are closely connected to PEPs, either socially or professionally. A Close associate as ..."any individual publicly known or actually known to the relevant financial institution (or Listed Business) to be a close personal or professional associate..." of the PEP e.g. a business partner.
LIST OF POLITICALLY EXPOSED POSITIONS	
a.	A Head of State or Government
b.	Senior Members of Legislature, Politicians, Speaker of the House, President of the Senate
c.	Senior Politicians e.g. Members of Parliament, Government Ministers, Councilors, Leaders of the Oppositions
d.	Senior Government Officials e.g. Permanent Secretaries, Chief Technical Officers, Ambassadors or High Commissioner, Commissioner of Police or Assistant Commissioners of Police
e.	Judicial Officials e.g. Magistrates, Judges of the Supreme Court, Judges of the Industrial Court, Judges of the Caribbean Court of Justice.
f.	Military Officials – Lieutenant Colonel or higher rank
g.	Senior Executives of State Enterprises e.g. Members of the Boards of all Statutory Bodies and State Enterprises including those bodies in which the State has a controlling interest
h.	Senior Political Party Officials e.g. Chairman, Political Leader and Deputy Political Leader of a political party.
i.	An immediate family member of a person mentioned above (i.e. the spouse, parents, siblings or children of that person and the parents, siblings and additional children of the person's spouse).
j.	Any individual publicly known to be a close personal or professional associate of a person mentioned above.