



1494 Islington Avenue Toronto, Ontario M9A 3L5 Tel: (416) 233-4108 Fax: (416) 233-0856 Web: www.candorgroup.com

## POLITICALLY EXPOSED PERSON OR HEAD OF INTERNATIONAL ORGANIZATION DETERMINATION

Declaration to Candor Financial Group Inc.

The purpose of this form is to collect information which securities dealers are required by law to obtain under the provisions of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act. Penalties for non-compliance with the Act include fines up to \$500,000, up to five years imprisonment, or both.

When an account is opened, Candor and its Agents are required to take reasonable measures to determine whether the client and/ or joint client is a Politically Exposed Person (PEP) or a Head of International Organization (HIO) or a close associate of a PEP or HIO. This form is for Agent/Head Office use and has been designed to assist with this requirement. Include this form with the application when opening an account if any of the individuals are deemed to be a PEP or HIO (or submit if you discover any of the individuals are deemed to be a PEP or HIO after the account was opened).

Client Name	Joint Client Name		Client Number
Information about the Politi	cally Exposed Person or Head of Inte	national Orga	nization
If more than one individual is de office or position has been held	eemed to be a politically exposed person of a complete additional forms.	or head of intern	national organization or more than one
Is the applicant a (select all that	apply):		
	cribed family member of a PEP cribed family member of a HIO		v associated <sup>4</sup> with a PEP v associated <sup>4</sup> with a HIO
Full name of the individual who	is identified as the Politically Exposed Per	son or Head of I	_
Mr Ms	Mrs Miss	Dr	Other:
Office or position held			From:To: Date office or position held
Name of organization or institu	tion		Country represented
Child (includes birth and add Parent (includes birth and a	spouse or common-law/de facto partner) opted children) doptive parents) se of civil union spouse or common law/d dopted brothers and sisters) n financial transactions ship ame board	e facto partners	
Source of funds used to mak	e the contribution/payment (Must b	snecific and s	elect AII that annly):
Employment income	Savings from spouse/common law's	·	ale of business:
Sale of principle residence	Sale of secondary residence/cottage		nheritance from:
☐ Insurance settlement	Sale of investment property/farmlar		ift from:
Loan	Other:		



## HEAD OFFICE

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## Information on the Source of Funds

Name of owner(s) of funds	used to make th	ne contribution/	'payment:			
Client named above or Other, Provide name(s) and relationship to accountholder						
First Name	Middle Nar	ne	Last Name	Relationship to account holder		
First Name	Middle Nar	 ne	Last Name	Relationship to account holder		
First Name	Middle Nar	ne	Last Name	Relationship to account holder		
First Name	Middle Nar	ne	Last Name	Relationship to account holder		
ADVISOR INFORMATION						
Advisor Name		Advisor Signature		Date		
For Head Office Use Only						
Compliance / Branch Manager Name		Compliance / Branch Manager Signature		Data		

<sup>2</sup>A Politically Exposed Domestic Person is a person who holds or has held (within the last 5 years) one of the following offices or positions in or on behalf of the Canadian federal government, a Canadian provincial government, or a Canadian municipal government: 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); Ambassador, or attaché or counsellor of an ambassador; Military general (or higher rank); 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 a legislature; Mayor (head of a city, town, village, or rural or metropolitan municipality, regardless of the size of the population).

<sup>3</sup>An international organization is an organization set up by the governments of more than one country. The head of an international organization is the primary person who leads that organization (i.e. president or chief executive officer) and is a person who is either: the head of an international organization established by the government of states; or the head of an institution established by an international organization.

<sup>&</sup>lt;sup>1</sup>A Politically Exposed Foreign Person is a person who holds or has held one of the following offices or positions in or on behalf of a foreign country: Head of state or head of government; member of the executive council of government or member of a legislature; deputy minister (or equivalent); an ambassador or attaché or counsellor of an ambassador; a military general (or higher rank); a president of a state owned company or bank; a head of a government agency; a judge of a supreme court, constitutional court or other court of last resort; or a leader or president of a political party in a legislature.

<sup>&</sup>lt;sup>4</sup>Closely associated means for business or personal reasons.