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## 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 INFORMATION			
Client Name	Joint Client Name		Client Number
Information about the Politi	cally Exposed Person or Head	of International	Organization
If more than one individual is de office or position has been held		person or head of	international 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		Closely associated <sup>4</sup> with a PEP Closely associated <sup>4</sup> with a HIO
Full name of the individual who	is identified as the Politically Expo	osed Person or He	ad of International Organization
Mr Ms	Mrs Miss	Dr	Other:
Office or position hold			From:To: Date office or position held
Office or position held			Date office or position field
Name of organization or institu	 tion		Country represented
Child (includes birth and add Parent (includes birth and a	spouse or common-law/de facto popted children) doptive parents) se of civil union spouse or commodopted brothers and sisters) in financial transactions ship	,	rtners)
Source of funds used to make	se the contribution/payment (	Must be specific	and select ALL that apply):
Employment income	☐ Savings from spouse/commo	on law's income	Sale of business:
Sale of principle residence	Sale of secondary residence,	/cottage	☐ Inheritance from:
☐ Insurance settlement	Sale of investment property	/farmland	Gift 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 Signa	ture	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.