



30 November 2019

Politically Exposed Persons Form

This form has been prepared in accordance with the AML/CTF Program for eXpand. The information collected with this form will be solely used for 'know your client' (KYC) purposes. Any personal information provided in this form will be handled in accordance with our privacy policy, available at www.myexpand.com.au/privacy.

A **Politically Exposed Person (PEP)** is a person who has been entrusted with or occupies a prominent public position or function in a government body or international organisation. The definition of a PEP also includes family members and close associates of that person (ie PEP by association).

There are three types of PEPs:

- Domestic (within Australia) (eg senior politicians / government officials, judicial and military officials)
- International Organisation (eg United Nations, FIFA)
- Foreign (outside of Australia) (eg heads of government, senior politicians and senior executives of state owned enterprises)

PEPs are considered higher risk due to their position and the potential their influence can be abused for money laundering and related predicate offences, including corruption and bribery.

- Please provide detailed answers and provide the requested documentation to all questions to minimise required follow-up.
- Enter 'N/A' where the question does not apply.

Step 1: Client/PEP details

Account number (if known)	<input type="text"/>
Title (Dr/Mr/Mrs/Ms/Miss)	<input type="text"/> Surname <input type="text"/>
Given name(s)	<input type="text"/>
Date of birth	<input type="text"/> / <input type="text"/> / <input type="text"/>
Occupation	<input type="text"/>
Current residential address	
Street	<input type="text"/>
Suburb	<input type="text"/> State <input type="text"/> Postcode <input type="text"/>
<input type="checkbox"/> PEP	
<input type="checkbox"/> PEP by association	Name of associate <input type="text"/>
Confirm role or role of associate	
Occupation	<input type="text"/>
Position	<input type="text"/>
Place of work	<input type="text"/>

Step 2: AML/CTF Checklist

1 Reasons for investing in this product

2 Please confirm the source of wealth. Please provide sufficient documentation to prove it (eg Statement of Advice).

- Income from employment (eg regular and/or bonus)
- Accumulated wealth or investments
- Investment income (eg rent, dividends, pension)
- Business income
- One-off payment (eg matured investment, court settlement, redundancy, inheritance)
- Sale of assets (eg shares, property)
- Windfall (eg gift, lottery, gambling)
- Other

3 Please confirm the source of funds (specifically the source of the monies that will fund this transaction) and provide sufficient documentation to prove it (eg Statement of Advice)

- Australian domiciled bank account
- Overseas domiciled bank account
- Other

4 Please attach original certified copies of identification with this form

Please note your transaction cannot be processed until an original certified copy of the ID is provided to us.

Client name

Client signature Date / /

Adviser name

Adviser signature Date / /

Please forward all correspondence and enquiries to

Post: eXpand
GPO Box 264, Melbourne VIC 3001

Email: clientfirst@myexpand.com.au

Telephone: 1800 517 124

Web: www.myexpand.com.au