



# Politically Exposed or Head of an International Organization Declaration Form

Agora Dealer Services Corp.  
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THE PURPOSE OF THIS FORM IS TO COLLECT INFORMATION WHICH SECURITIES DEALERS ARE REQUIRED BY LAW TO OBTAIN UNDER THE PROCEEDS OF CRIME (MONEY LAUNDERING) AND TERRORIST FINANCING ACT BEFORE OPENING AN ACCOUNT. NOTE: PLEASE COMPLETE ONE FORM FOR EACH PEP AND/OR HIO POSITION.

## 1: APPLICANT INFORMATION

SELECT ONE:  APPLICANT  JOINT APPLICANT

CLIENT NAME (FIRST)	CLIENT NAME (LAST)	AGORA ACCOUNT NUMBER
JOINT CLIENT (IF APPLICABLE) NAME (FIRST)	JOINT CLIENT NAME (LAST)	
DEALER NAME	ADVISOR NAME	DEALER / REP CODE

## 2: PEP OR HIO DEFINITION

A Politically Exposed Domestic Person is defined as an individual who holds or has held one of the following offices or positions (Federal or Provincial): 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 rank, ambassador or attaché or counsellor of an ambassador, military officer with a rank of general or above, president of a corporation 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 or the Federal Court of Appeal or the Supreme Court of Canada, leader or president of a political party represented in a legislature, or a mayor (municipal).

A Politically Exposed Foreign Person is defined as an individual who holds or has held one of the following offices or positions in or on behalf of a country: head of state or government, member of an executive council of government or member of a legislature, deputy minister or equivalent rank, ambassador or attaché or counsellor of an ambassador, military officer with a rank of general or above, president of a state-owned company of a state-owned bank, head of a government agency, judge of a supreme court, constitutional court or other court of last resort, or leader or president of a political party represented in the legislature.

The Head of an International Organization is defined as an individual who holds one of the following offices or positions: head of an international organization established by the governments of states or head of an institution established by an international organization.

## 3: PEP OR HIO DECLARATION

1. AS PER ABOVE DEFINITIONS, I AM OR I AM RELATED TO A:

- POLITICALLY EXPOSED DOMESTIC PERSON (PEDP)
- POLITICALLY EXPOSED FOREIGN PERSON (PEFD)
- HEAD OF AN INTERNATIONAL ORGANIZATION (HIO)

2. WHO HOLDS/HELD THIS POSITION INDICATED ABOVE?

FIRST NAME	INITIAL	LAST NAME
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3. WHAT IS THE RELATIONSHIP OF THE PERSON NAMED IN QUESTION #1 ABOVE TO THE APPLICANT / JOINT APPLICANT:

- SELF
- SPOUSE OR COMMON-LAW PARTNER
- CHILD
- MOTHER OR FATHER
- BROTHER, SISTER, HALF-BROTHER OR HALF-SISTER
- SPOUSE'S OR COMMON-LAW PARTNER'S MOTHER OR FATHER
- CLOSE ASSOCIATE (PROVIDE DETAILS): \_\_\_\_\_

4. COUNTRY WHERE THE POSITION WAS HELD: \_\_\_\_\_ TITLE OF POSITION HELD: \_\_\_\_\_

5. GOVERNMENT OR NAME OF ORGANIZATION THE POSITION HELD WITH: \_\_\_\_\_

6. TIME PERIOD THAT THE POSITION WAS HELD: FROM: DATE (MM/DD/YYYY) \_\_\_\_\_ TO : DATE (MM/DD/YYYY) \_\_\_\_\_

7. THE SOURCE OF FUNDS THAT HAVE BEEN, WILL BE OR ARE EXPECTED TO BE DEPOSITED TO THIS ACCOUNT ARE AS FOLLOWS:

## 4: ACKNOWLEDGEMENT

BY SIGNING AND DATING BELOW, I ACKNOWLEDGE, AGREE AND CONSENT TO ALL OF THE FOREGOING AND CONFIRM THAT THE INFORMATION I HAVE PROVIDED IS CORRECT.

<input checked="" type="checkbox"/>	APPLICANT SIGNATURE	_____	<input checked="" type="checkbox"/>	JOINT APPLICANT SIGNATURE	_____
	DATE (MM/DD/YYYY)	_____		DATE (MM/DD/YYYY)	_____