



# IOOF ESSENTIAL

30 November 2019

## Politically Exposed Persons Form

This form has been prepared in accordance with IOOF Essential's AML/CTF Program. 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.ioof.com.au/privacy](http://www.ioof.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)

Title (Dr/Mr/Mrs/Ms/Miss)  Surname

Given name(s)

Date of birth  /  /

Occupation

### Current residential address

Street

Suburb  State  Postcode

PEP

PEP by association Name of associate

### Confirm role or role of associate

Occupation

Position

Place of work

## Step 2: AML/CTF Checklist

### 1 Reasons for investing in this IOOF 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 IOOF.

Client name	<input style="width: 100%; height: 20px;" type="text"/>												
Client signature							Date	<input style="width: 100%; height: 20px;" type="text"/>	/	<input style="width: 100%; height: 20px;" type="text"/>	/	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Adviser name	<input style="width: 100%; height: 20px;" type="text"/>												
Adviser signature							Date	<input style="width: 100%; height: 20px;" type="text"/>	/	<input style="width: 100%; height: 20px;" type="text"/>	/	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

**Please forward all correspondence and enquiries to**

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