

# Shadforth Portfolio Service

25 February 2019

## Politically Exposed Persons Form

This form has been prepared in accordance with Shadforth Financial group's AML/CTF Program. The information collected with this form will be solely used for 'know your client' (KYC) purposes.

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"/>

## Step 2: AML/CTF Checklist

### 1 How long has the investor been a client of the advisory firm?

(ie how well does the adviser know the client, their background, their investment structure, their transaction behaviours)


### 2 Please confirm the investor’s source of wealth (how the client has obtained their wealth).

- Income from employment (eg regular and/or bonus)
- 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)

(Note: IOOF may request validation of the source of wealth selected.)

### 3 Please confirm the investor’s intended source of funds (specifically where monies will be sourced) for the opening of the account/future transactions on the account.

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

(Note: IOOF may request validation of the source of funds selected.)

### 4 Has clear and presentable certified ID been provided to us as part of the application process or since the notification of the client being a PEP was received?

Yes  No

If 'No', please note the application/transaction cannot be processed until a copy of the ID is provided to us.

Adviser name

Adviser signature 



 Date 



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**Please forward all correspondence and enquiries to**

- Post:** Shadforth Portfolio Service  
GPO Box 264, Melbourne VIC 8060
- Email:** portfolioservice@sfg.com.au
- Telephone:** 1800 931 792
- Web:** portfolio.sfg.com.au