



Registered Deposit Brokers Association Politically Exposed Person Form

RDBA Member Number:

This form is to be completed by a deposit broker representative for each client required to disclose Politically Exposed Person information.

Client Information

Title	First Name	Middle Name(s)		
Last Name	Date of Birth	Day	Month	Year
Social Insurance Number				

Politically Exposed Person Information

Does the client hold, have ever held, or is connected through family or close associate relationships to someone who has ever held a senior position in government, political party, military, tribunal or government-owned corporation, head of an international organization established by the governments of states or the head of an institution established by an international organization?

Yes No

What is the relationship between the client and the Politically Exposed Person?

- Self Child Parent Sibling, half-sibling, step sibling, adoptive sibling
- Spouse or common-law partner Spouse's or common-law partner's parent
- Son-in-law, daughter-in-law Close associate (please specify)

If the client is not the person who has ever held a senior position in government, political party, military, tribunal, government-owned corporation, head of an international organization established by the governments of states or the head of an institution established by an international organization, please indicate the name of the Politically Exposed Person to whom the client is related.

Title	First Name	Initial	Last Name
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What position is/was held by the person who is/was Politically Exposed?

- | | |
|--------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|
| Head of state or government | Head of Canadian federal or provincial government agency |
| Member of the executive council of a government or a member of a legislature | President of a state-owned company or bank |
| Governor General or lieutenant-governor | Judge in a foreign jurisdiction |
| Member of the Canadian Senate or House of Commons | Judge of an appellate court in a province, the Federal Court of Appeal or the Supreme Court of Canada |
| Member of a Canadian provincial legislature | Leader or president of a political party represented in a legislature in a state or federal or Canadian provincial government |
| Deputy Minister of a state or federal or Canadian provincial government or equivalent rank | Mayor |
| Ambassador or ambassador's attaché or counselor | Head of an international organization* |
| Military officer with a rank of general or above | Holder of other office or position that may be specified in the regulations |
| President of a corporation that is wholly owned directly by the Crown in right of Canada or a province | |

Title of position held

Country / jurisdiction where the position is / was held:	Canada
	Other

Time period the position / office was held	Start year	End year
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*For examples of international organizations, see [FINTRAC Guideline 14 Annex A](#)

Client Acknowledgement

By signing below, you confirm the information provided is complete, accurate and will be updated in the future if information changes.

Client / POA Signature _____ Date _____

RDBA Deposit Broker Representative Acknowledgement

By signing below you confirm the existence of a Politically Exposed Person as documented above.

Deposit Broker Company Name Representative Name _____
Deposit Broker Signature _____ Date _____

Form content and certification valid only when completed by an RDBA member in good standing.

For Financial Institution Use Only:

Client / Customer Number _____ Account Number _____

RDBA Broker Code: _____ RDBA Rep Code: _____