

BRIDGEFORCE FINANCIAL GROUP ANTI-MONEY LAUNDERING RECORDS FORM

Missing information is checked below. Please fill out the appropriate section and return to us.

- ☐ Third Party Determination
 - ☐ Beneficial Ownership Determination
 - ☐ Not-for-Profit Determination
 - ☐ Politically Exposed Foreign Person Determination
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Third Party Determination -did you ask the Proposed Owner whether he or she was acting on behalf of a third party? ☐ Yes ☐ No

Where a third party is involved, agents are responsible for obtaining the following information:

If the third party is an individual:

- Name _____
- Address _____
- Nature of principal business (be specific) _____
- Date of birth _____

If the third party is a corporation or other entity:

- Name of corporation or entity _____
- Address _____
- Nature of business (be specific) _____
- The nature of the relationship between the third party and the individual signing the statement _____

***A third party is defined as:**

- An individual or entity, other than the applicant/owner, associated with the policy who may be giving direction or the purchase of the policy/plan,
- Paying premiums on the policy or making contributions to the account/plan,
- Directing access requests for funds used in the policy or account/plan Some examples are Power of Attorney, Trustee, Payor or Contributor or Executor.

Beneficial Ownership Determination - Agents are required to make reasonable efforts to collect and maintain the following record:

1. If the entity is a Corporation:

A. Name and Occupation of Each Director (Attach additional pages if required):

B. Name, address and occupation of all individuals who directly or indirectly own or control 25% or more of the shares of the corporation.

Name	Address	Occupation	% Ownership
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2. If the entity is *Other than a Corporation*:

A. Name, address and occupation of all individuals who directly or indirectly own or control 25% or more of the entity.

Name	Address	Occupation	% Ownership
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Not-For-Profit Determination – Proposed Owner:

Yes

No

Is the entity a not-for-profit organization?

☐☐

Name of organization _____

Is the charity registered with CRA?

☐☐

What is the CRA Registration #? _____

Is the charity non-registered but solicits financial donations?

☐☐

Politically Exposed Foreign Person ("PEFP") Determination

The Financial Transactions and Reports Analysis Centre of Canada (FINTRAC), collects, analyzes and discloses financial information and intelligence on suspected money laundering and terrorist financing activities. Individuals and entities who must report to FINTRAC are required to know their clients and ask for certain information. Life insurance companies, brokers and agents among others have to determine if their clients are PEPs when you:

- open a new account with us and/or
- make a lump-sum payment of \$100,000 or more for an annuity or a life insurance policy to a life insurance company, broker or agent or
- initiate or are the beneficiary of an electronic funds transfer of \$100,000 or more.

1. **You are a PEP if** you or a family member holds or have ever held any of the following offices or positions in or on behalf of a **foreign** country:

	Yes	No
<input type="checkbox"/> Head of state or government;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Member of the executive council of government/ member of a legislature;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Deputy minister (or equivalent);	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Ambassador or an ambassador's attaché or counsellor;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Military general (or higher rank);	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> President of a state-owned company or bank;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Head of a government agency;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Judge; or	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Leader or president of a political party in a legislature.	<input type="checkbox"/>	<input type="checkbox"/>

2. **Family member** means one of the following:

<input type="checkbox"/> Mother or father;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Child;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Spouse or common-law partner;	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Spouse's or common-law partner's mother or father and	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Brother, sister, half-brother or half-sister (that is, any other child of the individual's mother or father).	<input type="checkbox"/>	<input type="checkbox"/>

3. **If you are a PEPF, you must inform us** about the source of funds that were used for the transaction, or in the case of an account, that have been or are expected to be deposited.

Customer Name: _____ **Date:** _____

Customer Signature: _____