

INFORMATION ON THE IDENTITY OF A POLITICALLY EXPOSED PERSON (ADDITIONAL DEPOSIT \$100,000 OR MORE)

FOR NON-REGISTERED FUNDS AND UNIVERSAL LIFE INSURANCE POLICY

1. OWNER INFORMATION

First name _____

Last name _____

Date of birth: _____

Day

Month

Year

Estimated amount of deposit: _____

Source of the funds: _____

2. VERIFICATION OF POLITICALLY EXPOSED PERSONS (PEP)

This section must be completed for each of the individual owners (the "owner") if the lump sum deposit is at least \$100,000. It is not necessary to complete this form if the form 6101-00A "Compliance - Information on the identity of an owner" was completed and submitted to Assumption Life within the last 60 days.

Closely associated person (PEP = PEF and PED and HIO):

A person (the owner) may be closely associated with a Politically Exposed Person ("PEP"), either because they are Politically Exposed Foreigner person ("PEF"), Politically Exposed Domestic person ("PED") or a Head of an International Organization ("HIO") for personal or professional reasons; some examples are set out below:

- The owner is the business partner with, or who beneficially owns or control a business with a PEP;
- The owner is in a romantic relationship with a PEP;
- The owner is involved in financial hardship with a PEP;
- The owner serves as prominent member of the same political party or union as a PEP;
- The owner serves as a member of the same board as a PEP;
- The owner carries out charitable works closely with a PEP; or
- The owner is a joint owner of a life insurance or annuity policy with a PEP.

Politically Exposed Foreigners (PEF)

Owner 1

Yes No

Owner 2

Yes No

i) Does the owner, or their spouse or common-law partner, father or mother, step-parent, child, brother or half-brother, sister or half-sister or the person with whom the owner is closely associated with hold or has this person held any of the following positions for a country other than Canada?

- Head of state or head of government;
- Member of the executive council of government or member of a legislature;
- President of a state-owned company or a state-owned bank;
- Deputy minister or equivalent rank;
- Ambassador or attaché or counsellor of an ambassador;
- Judge of a supreme court, constitutional court or other court of last resort;
- Military officer with a rank of general or above;
- Holder of any prescribed office or position;
- Leader or president of a political party represented in a legislature; or
- Head of a government agency.

Politically Exposed Domestic person (PED)	
Owner 1 <input type="checkbox"/> Yes <input type="checkbox"/> No	Owner 2 <input type="checkbox"/> Yes <input type="checkbox"/> No
ii) Does the owner, or their spouse or common-law partner, his father or mother, step-father or step-mother, child, brother or half-brother, sister or half-sister or a person with whom the owner is closely associated with currently hold or has held any of the following positions in Canada over the past 5 years?	
<ul style="list-style-type: none"> • Governor General, Lieutenant Governor or head of government; • Member of the Senate or House of Commons or member of a legislature of a province; • 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 that is 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, the Federal Court of Appeal or the Supreme Court of Canada; • Leader or president of a political party represented in a legislature; • Holder of any prescribed office or position; or • Mayor, reeve or other similar chief officer of a municipal or local government. 	

Head of International Organizations (HIO)	
Owner 1 <input type="checkbox"/> Yes <input type="checkbox"/> No	Owner 2 <input type="checkbox"/> Yes <input type="checkbox"/> No
iii) Does the owner, or their spouse or common-law partner, his father or mother, step-father or step-mother, child, brother or half-brother, sister or half-sister or a person with whom the owner is closely associated, occupy or has occupied one of the following positions within the last five years?	
The office or position of head of: <ul style="list-style-type: none"> • An international organization that is established by the governments of states; • An institution of an organization referred to in table (A); or • An international sports organization. 	

A)					
Name of the owner or co-owner (owner having a relationship with a PEP)	Name of the politically exposed person (PEP) being the person with whom the owner is closely associated	Relation between the owner and the PEP	Position held by the PEP (see sections i, ii or iii above)	Country for which the position was held (See i and iii) above)	Name of the organization

If the representative is not able to obtain certain information about PVPs, please explain the reason and indicate the actions taken below. You can also send us these details by email at investments.retirement@assumption.ca.

3. OWNER'S DECLARATION

I declare that the answers to the questions in this form and the statements made therein are accurate and complete.

X

Signature of owner 1

Date of the signature (dd-mm-yyyy)

X

Signature of owner 2 (co-owner)

Date of the signature (dd-mm-yyyy)

4. DECLARATION OF THE REPRESENTATIVE

With the understanding that Assumption Life will rely on the information in this form to conduct its due diligence and to satisfy applicable regulatory requirements, I, the representative, confirm each of the following:

- To the best of my knowledge, all details in this form are full, complete, true and given to me by the owner.

If there are reasonable grounds to suspect that there is an undisclosed third party, a Politically Vulnerable Person (PVP) Politically Vulnerable Foreigner (PVF), Politically Vulnerable National (PVN) Leaders of International Organizations (LIO) that has not been referred to but is involved in this transaction, please add details here or email us at investments.retirement@assumption.ca.

First and last name of the representative (in block letters)

Representative's code

X

Signature of the representative

Date of the signature (dd-mm-yyyy)