



COLONIAL LIFE INSURANCE COMPANY [TRINIDAD] LIMITED
KNOW YOUR CUSTOMER (KYC) FORM

PLEASE COMPLETE IN CAPITAL LETTERS

CUSTOMER NAME: \_\_\_\_\_

GENDER: MALE [ ] FEMALE [ ]

MARITAL STATUS: SINGLE [ ] MARRIED [ ] DIVORCED [ ] SEPERATED [ ] WIDOWED [ ] COMMON-LAW [ ]

ADDRESS: \_\_\_\_\_

PROOF OF ADDRESS ATTACHED: Telephone Bill [ ] Electricity Bill [ ] Water Bill [ ] Cable Bill [ ]
(Bill must be no older than three (3) months)

IDENTIFICATION: DRIVER'S PERMIT [ ] NATIONAL ID CARD [ ] PASSPORT [ ] BIRTH CERTIFICATE PIN [ ]
(Identification must be valid and copies provided)

DATE OF BIRTH: \_\_\_\_\_ PLACE OF BIRTH: \_\_\_\_\_ NATIONALITY: \_\_\_\_\_

CONTACT: HOME: \_\_\_\_\_ OFFICE: \_\_\_\_\_ MOBILE: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

EMPLOYER: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

OCCUPATION: \_\_\_\_\_

ANNUAL INCOME: LESS THAN 100,000 [ ] 100,000 - 250,000 [ ] 250,000 - 500,000 [ ] 500,000 - 1,000,000 [ ] Over 1,000,000 [ ]

THIS SECTION TO BE COMPLETED IN ACCORDANCE WITH THE LAWS OF TRINIDAD AND TOBAGO AS IT RELATES TO FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA). PLEASE COMPLETE BY TICKING WHERE APPLICABLE:

A NATIONAL OF T&T? YES [ ] NO [ ] ARE YOU A U.S. CITIZEN OR RESIDENT OF THE U.S. FOR TAX PURPOSES? YES [ ] NO [ ]

U.S. TAXPAYERS IDENTIFICATION NUMBER (TIN) \_\_\_\_\_ OTHER NATIONALITY (PLEASE STATE) \_\_\_\_\_

DECLARATION FOR POLITICALLY EXPOSED PERSONS - P.E.P. (SEE OVERLEAF)
TICK APPROPRIATE BOX IF YOU ARE A:

- A. SENIOR MEMBER OF THE JUDICIARY [ ] G. DIRECTOR OF A STATE BOARD [ ]
B. SENIOR GOVERNMENT OFFICIAL [ ] H. SENIOR INT'L ORGANISATION OFFICIAL [ ]
C. MILITARY OFFICIAL [ ] I. IMMEDIATE FAMILY MEMBER (OF PERSONS IDENTIFIED IN A - H) [ ]
D. SENIOR POLITICAL PARTY OFFICIAL [ ] J. FOREIGN PERSON (IDENTIFIED IN A - H) [ ]
E. SENIOR POLITICIAN [ ] K. CLOSE ASSOCIATE OF A P.E.P [ ]
F. JUDICIAL OFFICIAL [ ]

DECLARATION

By reason of the requirements of the Anti-Money Laundering Legislation (AML), Colonial Life Insurance Company [Trinidad] Limited's Compliance Programme requires that it be satisfied as to the identity of the client before conducting any transactions. Consent is hereby given to Colonial Life Insurance Company [Trinidad] Limited to disclose the information contained herein which in the opinion of Colonial Life Insurance Company [Trinidad] Limited is required to be disclosed by law or if requested by the Financial Intelligence Unit (FIU) or Financial Action Task Force (FATF).

Form must be completed and signed by the CUSTOMER and reviewed by the Chief Executive Officer and/or the Compliance Officer for customer acceptance.

I/We have to the best of my/our knowledge answered the all questions correctly and provided copies of the originals for verification of the information above in accordance with the applicable AML Legislation in Trinidad and Tobago.

CUSTOMER SIGNATURE

DATE

# Politically Exposed Persons (PEPs)

The Financial Action Task Force (FATF) definition of Politically Exposed Persons (PEPs) identifies Foreign PEPs, Domestic PEPs, International Organisations PEPs and Individuals who are closely related to or close associates of a PEP.

## Categories of PEPs:

1. **Foreign PEPs:** individuals who are or have been entrusted with prominent public functions by a foreign country, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials.

2. **Domestic PEPs:** individuals who are or have been entrusted domestically with prominent public functions, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations, important political party officials.

The following examples of domestic PEPs are included in the above definition:\*

- Head of State – the President of the Republic of Trinidad and Tobago
- Head of Government – the Prime Minister
- Senior Members of the Legislature e.g. The Speaker of the House and the President of the Senate
- Senior Politicians e.g. all Members of Parliament, Government Ministers, Mayors, Leader of the Opposition, Chairman and Chief Secretaries of the Tobago House of Assembly, Parliamentary Secretaries
- Senior Government Officials e.g. Permanent Secretaries, Chief Technical Officers, an Ambassador or High Commissioner, Assistant Commissioner of Police or higher rank
- Judicial Officials e.g. Magistrates, Judges of the Supreme Court, Judges of the Industrial Court, Judges of the Caribbean Court of Justice.
- Military Officials – a Lieutenant Colonel or higher rank
- Senior Executives of State Owned Corporations e.g. Members of the Boards of all Statutory
- Senior Political Party Officials e.g. Chairman, Political Leader and Deputy Political Leader of a political party.

\*NOTE: these examples are NOT exhaustive.

3. **International organisation PEPs:** persons who are or have been entrusted with a prominent function by an international organisation, and refers to members of senior management or individuals who have been entrusted with equivalent functions, i.e. directors, deputy directors and members of the board or equivalent functions.

International Organisations include but are not limited to:

- United Nations and affiliated international organisations
- Organisation of American States
- Inter-American Development Bank
- International Labour Organisation
- Caribbean Financial Action Task Force

4. **Immediate Family members are individuals who are related to PEPs either through birth or marriage:** Regulation (Reg.) 20(1) (e) of The Financial Obligations Regulations, 2010 (FORs), defines immediate family member as, "...the spouse, parents, siblings or children" of the PEP and the parents, siblings and additional children of the PEP's spouse." References to parents, siblings or children include the half and whole blood and relationships through adoption. Spouse includes ex-spouse.

5. **Close associates are individuals who are closely connected to PEP, either socially or professionally:** Reg. 20 (1) (f), FORs defines a Close associate as "...any individual publicly known or actually known to the relevant financial institution (or Listed Business vide Rec 22) to be a close personal or professional associate..." of the PEP e.g. a business partner.