

Politically exposed person (PEP) questionnaire

Nucleus client relations, PO BOX 26968, Glasgow G2 9DY.

This questionnaire must be completed and submitted to Nucleus if

- (i) A client is a PEP at the start of the relationship before an account is opened in the name of a PEP.
- (ii) Identified as a PEP after the start of a relationship
- (iii) Where either a family member or close associate of the client is a PEP.

Please note you will not be able to progress a new business application for a PEP without Nucleus approval. For verification purposes, on approval we will require certified documentation in line with JMLSG standards to confirm the client's ID and address details.

Applicant details (PEP or RCA)

Name

Address

Postcode

Occupation

Investment amount - if applicable

£

Is the client a PEP?

Yes No

Is the client related to a PEP?

Yes No

Is the client a close associate of a PEP?

Yes No

Definitions

PEPs are defined as individuals entrusted with prominent public functions, including:

- heads of state, heads of government, ministers and deputy or assistant ministers;
- members of parliaments;
- members of supreme courts, of constitutional courts or of other high-level judicial bodies;
- members of courts of auditors or of the boards of central banks;
- ambassadors, charges d'affaires and high-ranking officers in the armed forces; and
- members of the administrative, management or supervisory boards of State-owned enterprises.

Immediate family members include:

- a spouse;
- a partner (including a person who is considered by his national law as equivalent to a spouse);
- children and their spouses or partners; and
- parents.

Persons known to be close associates include:

- any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with a person who is a PEP; and
- any individual who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of a person who is a PEP.

If in doubt whether the client is a PEP or RCA, please speak to compliance.

Politically exposed person (PEP) questionnaire continued

Annual income band

£0-£14,999	£15,000-£29,999	£30,000-£59,999
£60,000-£99,999	£100,000-£149,999	£150,000+

Source of income

Other income

Any other relevant information regarding the PEP

Source of funds

Please provide details of the bank/building society account used to make the investment. If the investment is being provided by a bank or building society transfer/cheque, please provide details of the personal account/other investment from which the money was drawn.

Account Name

Sort Code

Account/Roll Number

Bank/Building Society Address

What is the source of wealth in relation to the new or existing investment?

This section only applies where the applicants/trustees are funding the investment. For verification purposes, please provide proof of source of wealth.

Tick all boxes that may apply:

	1st or sole applicant/trustee	2nd applicant/ trustee	3rd trustee	4th trustee
Accumulated savings from employment				
Retirement fund				
Inheritance				
Sale of property/asset				
Company sale				
Sale/maturity of existing investments				
Gift				
Divorce Settlement				
Compensation Payment				
Lottery or betting win				
Other (please state)				

Once completed please raise a top priority Jira and assign to your client relations manager. We aim to provide you with a response within 48 hours.

Politically exposed person (PEP) questionnaire continued

Details of the PEP

Name (if not the client)

Occupation

Name of employer/organisation

Employer's address