



Politically Exposed Persons and Sanctions Screening

To help the government fight financial crime, federal regulation requires certain financial institutions to obtain, verify, and record information about politically exposed persons and the locations which customers are located in or conduct business with.

As part of this review, please complete the following questions:

1. Does the customer have locations in or do business with any sanctioned countries (Balkans, Belarus, Burundi, Central African Republic, Cuba, Democratic Republic of Congo, Iran, Iraq, Lebanon, Libya, Mali, Nicaragua, North Korea, Sudan and Darfur, South Sudan, Somalia, Syria, Ukraine, Russia, Venezuela, Yemen, and Zimbabwe)?

Yes No

2. Have any Directors, Beneficial Owners, or Controlling Persons at the entity, or an immediate family member or close associate of any of these parties, held any of the following positions?

a) A current or former senior official in the executive, legislative, administrative, military, or judicial branches of government (whether elected or not)?

Yes No

b) A senior official of a major political party or senior executive of a government owned commercial enterprise, including corporations, businesses, or the entities formed by or for the benefit of such an individual?

Yes No

c) An officer, shareholder, or owner of an exchange house, money transmitter, casino or gambling, or adult entertainment?

Yes No

Close Associate - are individuals who are closely connected to a PEP, either socially or professionally.

Family Members - are individuals who are related to a PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership. **Beneficial Owners** - A beneficial owner is an individual who ultimately owns or controls more than 25% of a company's shares or voting rights, or who otherwise exercise control over the company or its management. Where such an interest is held through a trust, the trustee(s) or anyone who controls the trust will be registered as the beneficial owner(s).

Controlling Persons - This is a natural person who exercises control over an entity.