

Politically Exposed Person (PEP) Self-Certification Form

In accordance with Anti-Money Laundering Laws, there is an obligation on subject persons to determine if the applicant for business or a beneficial owner is a PEP. Please read the below definition carefully, select the relevant alternative, sign and date this form and return the form to our offices.

A PEP is defined as a person who holds, or has held at any time in the last year,

1. A prominent public function, including:

- (a) Heads of State, Heads of Government, Ministers and Deputy and Assistant Ministers and Parliamentary Secretaries;
- (b) Members of Parliament;
- (c) Members of the Courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;
- (d) Members of courts of auditors, Audit Committees or of the boards of central banks;
- (e) Ambassadors, charge d'affaires and other high ranking officers in the armed forces;

For the purposes of (a) to (e) above this includes positions held at the Community or international level.

2. Members of the administration, management or boards of State-owned corporations.

PEP Family Members & Close Associate

The legislation extends the definition of PEPs to immediate family members and close associates of PEPs.

An immediate family member includes any of the following:

- (a) the spouse, or any partner recognised by national law as equivalent to the spouse;
- (b) the children and their spouses or partners; and
- (c) the parents.

A close associate is defined to include any of the following persons:

- (1) an individual who has joint beneficial ownership of a body corporate or any other form of legal arrangement or any other close business relations with a PEP; or
- (2) an individual who has sole beneficial ownership of a body corporate or any other form of legal arrangement that is known to have been established for the benefit of a PEP.

Please complete the relevant Alternative

ALTERNATIVE ONE:

I am a Politically Exposed Person ("PEP") or have been a PEP during the last year

If you have checked this box, please provide the following information:

Title: _____

Description of Function and Level/Seniority: _____

Date when you became a PEP: _____

If you were but are no longer a PEP, date when the appointment ended: _____

ALTERNATIVE TWO:

An immediate family member or a close associate is a PEP or has been a PEP during the last year.

If you have checked this box, please provide the following information:

If the PEP is an immediate family member, please specify the relationship:

Spouse/legal cohabitant

Parent

Children/spouse or legal cohabitant of your Children

If the PEP is a close associate please describe the nature of the association:

ALTERNATIVE THREE:

I am not a PEP

I hereby confirm that all the information and any documentation supplied with this form is genuine, complete and correct.

I hereby confirm that I will inform Kingswood Capital Partners LLC of a change in my status as detailed in this Form should it change in the future.

Name & Surname: _____

Date: _____ Signature: _____