

POLITICALLY EXPOSED PERSON (PEP) DECLARATION FORM

In order to comply with regulatory requirements and as per Maltese Law (Prevention of Money Laundering and Funding of Terrorism Regulations), CC Fund Services (Malta) Limited, as a subject person is required to obtain information from our investors confirming whether they fall under the category of a PEP or not.

Politically exposed persons (“**PEPs**”) are natural persons who are or have been entrusted with prominent public functions and include their family members or persons known to be close associates of such persons, not including middle ranking or more junior officials.

(1) The term ‘natural persons who are or have been entrusted with prominent public functions’ includes the following (including, where applicable, positions held at the European Union or international level):

- Heads of State, Heads of Government, Ministers and Deputy and Assistance Ministers and Parliamentary Secretaries;
- Members of Parliament;
- Members of the courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional circumstances;
- Members of courts of auditors, audit committees or of the boards of central banks;
- Ambassadors, *charges d'affaires* and other high ranking officers in the armed forces; and
- Members of the administrative, management of board of state-owned corporations.

(2) The term ‘family members’ includes the following (in relation to a person identified in Section 1 above):

- their spouse, or any partner recognised by national law as equivalent to the spouse;
- their children and their spouses or partners; and
- their parents;
- their siblings

(3) The term ‘persons known to be close associates’ shall include the following:

- a natural person known to have joint beneficial ownership of a body corporate or any other form of legal arrangement, or any other close business relations with a person identified in Section 1 above;
- a natural person 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 person identified in Section 1 above.

Please tick the applicable box:

	I declare that the investor shares held within the below mentioned sub-fund are NOT ultimately owned/controlled by a PEP (the Underlying Beneficial Owner)
	I declare that the investor shares held within the below mentioned sub-fund are ultimately owned/controlled by a PEP (the Underlying Beneficial Owner)
	I declare that I am NOT a PEP
	I declare that I am a PEP

Please fill in the following details, should any of the underlying investor/s be a PEP:

Type of PEP (e.g. Head of State, Ambassador, etc.,)	Nationality of PEP	Jurisdiction where the investor is a PEP

Kindly fill in the following details with respect to your subscription:

Investor Name:	
Full Sub-Fund Name & Class:	
Date:	
Signature & Name of Signee:	

SOURCE OF WEALTH & SOURCE OF FUNDS DECLARATION FORM

In order to comply with regulatory requirements and as per Maltese Law (Prevention of Money Laundering and Funding of Terrorism Regulations), CC Fund Services (Malta) Limited, as a subject person is required to obtain information from our investors outlining their source of wealth and source of funds once initiating a business relationship with yourselves.

As outlined in the FIAU Implementing Procedures dated 17th July 2019, the term “source of wealth” is defined as being the economic activity of activities that generate the customer’s wealth, whereas “source of funds” refers to the activity, event, business, occupation or employment generating the funds used in a particular transaction.

In this regard, kindly tick the relevant boxes and provide us with the necessary supporting documentation as outlined in Annex I:

Source of Wealth & Source of Funds	Tick any relevant boxes in relation to SOW	Tick any relevant boxes in relation to SOF
Sale of securities or other investment	<input type="checkbox"/>	<input type="checkbox"/>
Sale of property	<input type="checkbox"/>	<input type="checkbox"/>
Maturing investments or policy claim	<input type="checkbox"/>	<input type="checkbox"/>
Individual owns policy/company pays premium	<input type="checkbox"/>	<input type="checkbox"/>
Dividends or profits from private company	<input type="checkbox"/>	<input type="checkbox"/>
Company sale	<input type="checkbox"/>	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>	<input type="checkbox"/>
Maturity or redemption of shareholder’s loan	<input type="checkbox"/>	<input type="checkbox"/>
Gift	<input type="checkbox"/>	<input type="checkbox"/>
Lottery/betting/casino win	<input type="checkbox"/>	<input type="checkbox"/>
Compensation payment (<i>this could be a decision or award by a court, tribunal or arbiter or else an out-of-court settlement</i>)	<input type="checkbox"/>	<input type="checkbox"/>
Savings and investment	<input type="checkbox"/>	<input type="checkbox"/>
Insurance claims	<input type="checkbox"/>	<input type="checkbox"/>
Divorce or separation settlement	<input type="checkbox"/>	<input type="checkbox"/>
Income from employment (<i>including bonus</i>)	<input type="checkbox"/>	<input type="checkbox"/>
Retirement income	<input type="checkbox"/>	<input type="checkbox"/>
Other monies (<i>please clarify</i>)	<input type="checkbox"/>	<input type="checkbox"/>

Kindly fill in the following details with respect to your subscription:

Investor Name:	
Full Sub-Fund Name & Class:	
Subscription Amount:	
Date:	
Signature & Name of Signee:	

By signing this declaration, I confirm the accuracy of the information contained herein and I hereby declare that I am not involved (or the Applicant and its ultimate beneficial owners are not involved) in any criminal, money-laundering or terrorist funding activity and that the subscription funds are clean and were not generated by any illegal activities.

SOURCE OF WEALTH & SOURCE OF FUNDS DECLARATION FORM – ANNEX I

Source of Wealth & Source of Funds	Examples of documentary evidence to be collected
Sale of securities or other investment	Investment/savings certificates, contract notes or statements; Written confirmation from the relevant investment company on the letter headed paper; Bank statement showing receipt of funds from investment company name; or Signed letter detailing funds from a warranted accountant on letter headed paper
Sale of property	Signed letter from a lawyer or a notary on letter headed paper notifying proceeds of claim; or Contract of sale
Maturing investments or policy claim	Letter from previous investment company on letter headed paper notifying proceeds of claim; Chargeable Event Certificate; or Closing statement
Individual owns policy/company pays premium	A copy of trading details or an annual report from the company's website (if applicable); Hard copy of the latest annual report; or Copy of the company's certificate of incorporation (or equivalent); AND Policy statement; or Bank statement showing credit
Dividends or profits from private company	Dividend contract note; Letter showing dividend details signed by a warranted accountant on letter headed paper; Set of company accounts showing the dividends details; or Bank statement clearly showing receipt of funds and the name of the company paying dividend; AND A document providing proof of shareholding such as a copy of the M&A of the company, a certificate of incumbency a dated print-out of a company registry search
Company sale	Signed letter from a lawyer or a notary on letter headed paper; Signed letter from a warranted accountant on letter headed paper; Copy of contract of sale and bank statement showing credit to account consequent to the sale; or Copies of media coverage (where applicable) as supporting evidence
Inheritance	A copy of the will that must include the value of the estate; or A lawyer or notary's letter on letter headed paper or a letter from the trustees of an estate that includes the type of asset and respective value
Maturity or redemption of shareholder's loan	Loan agreement; or Recent loan statements
Gift	Document (e.g. letter from the donor) showing who gave the gift, when, the relationship between the donor and donee and (if possible and applicable) why the donation was made, together with the verification of identity of the donor, and information and the source of the donor's wealth
Lottery/betting/casino win	Letter from relevant organization (Lottery headquarters/betting shop/casino); A certificate of winnings issued by the relevant company or casino; In the case of lottery winnings, a bank statement showing funds deposited by company name; or Copies of media coverage (where applicable) as supporting evidence
Compensation payment (this could be a decision or award by a court, tribunal or arbiter or else an out-of-court settlement)	A letter/court order from a compensating body clearly showing the amount of compensation; or Lawyer's letter on letter headed paper clearly establishing the amount

CCFundServices

Source of Wealth & Source of Funds	Examples of documentary evidence to be collected
Savings and investment	Bank statement(s) demonstrating deposited/gifted monies; or Documentation evidencing an inward transfer from portfolio
Insurance claims	A letter from the insurance provider on letter headed paper
Divorce or separation settlement	A copy of the court order or judicial separation agreement and verification the funds have originated from the account of the former spouse
Income from employment (including bonus)	An original or certified copy of a recent pay slip; Written confirmation of annual salary/bonus amounts signed by employer; or Bank statement clearly showing receipt of most recent regular salary payments from named employer
Retirement income	Pension statement; Signed letter from a warranted accountant on letter headed paper; Letter from annuity provided; or Bank statement showing receipt of latest pension income and name of provider
Other monies	Appropriate supporting documentation; or Signed letter detailing funds from warranted accountant/lawyer/entity licensed to provide investment services on letter headed paper