

# WORLD-CHECK REFERENCE GUIDE

## SUB-CATEGORY DEFINITIONS

	PEP	Immediate Relative	Close Associate INDIVIDUAL	Close Associate ENTITY
International Organization	PEP IO	PEP IO-R	PEP IO-A	PEP IO-AE
Regional Organization	PEP RO	PEP RO-R	PEP RO-A	PEP RO-AE
National Government	PEP N	PEP N-R	PEP N-A	PEP N-AE
Sub-National Government	PEP SN	PEP SN-R	PEP SN-A	PEP SN-AE
Local Government	PEP L	PEP L-R	PEP L-A	PEP L-AE
Non-Governmental	PEP NG	PEP NG-R	PEP NG-A	PEP NG-AE
State Owned Enterprise	SOE			
State-Owned Enterprise - Local Government	SOE L			
State-Owned Enterprise - National Government	SOE N			
State-Owned Enterprise - Sub-National Government	SOE SN			
State Invested Enterprise	SIE			
Instrumentality of state	IOS			

## PEP HIERARCHY

### INTERNATIONAL ORGANIZATION

PEP IO

An organization with broad international membership, scope, or presence, made up of sovereign states that are held together by formal agreement between member states (also referred to as intergovernmental organizations). For example:

- Senior officials of the United Nations (UN Ambassadors, Permanent Representatives, Plenipotentiaries)
- UN organizations (UNESCO, UNCDF, UNCTAD, UNICEF, UNDP)
- World Bank
- International Monetary Fund (IMF)
- International Trade Centre (ITC)
- International Labour Organization (ILO)
- International Atomic Energy Agency (IAEA)
- Organization for Economic Cooperation & Development (OECD)
- Organization of the Petroleum Exporting Countries (OPEC)
- International Centre for Settlement of Investment Disputes
- World Trade Organization (WTO)
- World Health Organization (WHO)
- International Criminal Police Organization (Interpol)
- International Olympics Committee (IOC)
- Federation Internationale de Football Association (FIFA)
- International Judicial Bodies (Court of Human Rights, International Court of Justice, The Hague Tribunal)
- International Sports Federations and their leaders/senior officials

## REGIONAL ORGANIZATION

PEP RO

An organization with international membership that encompasses geographical entities that operationally transcend a single nation state and is characterized by boundaries and demarcations of a defined and unique regional geography, such as continents, geopolitics, or economic blocks. Regional Organizations are established to foster cooperation and political and economic integration or dialogue amongst states or entities within a restrictive geographical or geopolitical boundary and consist of 3 or more member states. For example:

- Senior officials and members of the European Parliament (EU)
- European Central Bank (ECB)
- European Space Agency (ESA)
- Organisation of American States (OAS)
- North American Development Bank
- Association of Southeast Asian Nations (ASEAN)
- South Asian Association for Regional Cooperation (SAARC)
- African Union (OAU)
- Pan- African Parliament
- East African Legislative Assembly (EALA)
- Cooperation Council for the Arab States of the Gulf (GCC)
- League of Arab States (Arab League)
- Dubai International Financial Centre (DIFC)
- African Development Bank (AFDB)
- North Atlantic Treaty Organization (NATO)
- Secretariat of Economic Integration of Central America (SIECA)
- Senior officials from other regional and sub-regional multilateral development banks (MDB's)

## NATIONAL GOVERNMENT

PEP N

Senior members of the executive, legislature, judiciary, police, and military units of national or federal governments. Includes senior central government administration officials, senior civil servants, senior government officials, high-ranking officers in the diplomatic service, and senior executives of national-level state-owned enterprises.

- Head & deputy head of state or national government (president, premier, chancellor, prime minister)
- National government ministers and cabinet members, their deputies (assistants), senior ministerial staff, and secretaries of state (the Executive)
- Senior members of their administration and their government appointed and/or employed political advisors (the Administration)
- Members of parliament and other senior members of the national legislator (national or federal parliament), congress (senate / house of representatives) (the Legislature)
- Senior members of the judiciary (supreme, final appeal and constitutional courts), prosecution services and members of truth and reconciliation commissions (the Judiciary)
- Members of shadow cabinet
- Members of ruling royal families, royal heads of state and dynasties
- Religious leaders in theocratic governments
- Senior civil servants of national government or senior government officials (directors general, heads of departments, head of customs)
- High ranking officers in diplomatic service (ambassadors, high commissioners, envoys, charges d'affaires, attachés, consul generals, consuls, honorary consuls, counsellors, ministers and minister-counsellors)
- Senior Members of the armed / military forces (army, navy, air force) – admiral ranks, colonel, colonel general, brigadier, major general, lieutenant general, general, brigadier general, commander (the Military)
- Senior national members of the police services (chief of police, chief constable, chief superintendent)
- Senior members of the secret services and intelligence agencies
- Governors and board members of national / central banks
- Court of auditors
- Senior executives / board members / directors of state owned enterprises, nationalised industries and parastatals

- Senior members of supervisory bodies of SOEs, statutory boards, funds, trusts, institutions, and foundations that are established, owned or controlled by government
- State agency officials (state broadcasters, air traffic control bodies, and regulatory bodies)
- Mayors of capital cities of a country or capitals of states and provinces, or any city with population of 5million people and above

### SUB- NATIONAL GOVERNMENT

PEP SN

Senior members of the executive, legislature, judiciary, and police of sub-national governments such as provinces, states, and regions within a national government. Includes senior civil servants, senior government officials at sub-national level, and senior executives of sub-national level state owned enterprises.

- State governors, provincial heads, premiers, and other heads and deputy heads of sub-national or regional governments
- Ministers and senior members of state, provincial, and other regional governments
- Members of state or provincial legislators, ministers, and provincial or county councillors
- Senior state or provincial high court judges and senior prosecutors
- Senior civil servants including heads of government departments
- Chiefs of the police services
- Senior executives of state-owned enterprises administered or owned at the provincial, state, or regional level

### LOCAL GOVERNMENT

PEP L

Mayors and deputy mayors of local government, senior executives of state-owned enterprises administered or owned at the local level, and individuals included as PEPs per non-FATF local PEP definitions.

- City mayors (population over 100 000 inhabitants) or capitals of states and provinces, or any Deputy Mayor in a city with population of 5 million people and above
- Deputy mayors of capital cities of a country
- Country specific government positions included as a result of country specific PEP definitions below FATF prominent public functions levels

### NON-GOVERNMENT

PEP NG

Influential religious leaders and representatives of religious organisations with political, judicial, military, and financial responsibilities, senior political party officials and functionaries, and senior members of political pressure groups and trade unions exercising political influence or pressure.

- Influential religious leaders and representatives of religious organisations or cults with political, judicial, military, and administrative (financial) responsibilities
- Political parties (whether actively taking part in elections or not)
- Senior political party officials and functionaries such as leader, chairman, deputy leader, secretary general, and executive committee
- Political pressure groups
- Trade unions and other senior labour group officials exercising political influence or pressure (leaders and secretary general at the minimum)
- Senior Officials of Electoral Commissions

### STATE-OWNED ENTERPRISE

SOE

SOEs are legal entities in which government/state holds more than 50% direct, indirect or combined indirect shareholding. Senior officials (primary PEP) of such SOEs and their intimate family members and close associates (secondary PEP) will be included in the database and sub-categorized as per World-Check PEP criteria. Indirect Ownership: where the government has more than 50% ownership in one enterprise (subsidiary) through another state-owned enterprise (parent).

### STATE-OWNED ENTERPRISE – LOCAL GOVERNMENT

SOE-L

Legal entities in which local or municipal government ultimately owns more than 50% of the entities shares. Senior officials (primary PEP) of such SOEs and their intimate family members and close associates (secondary PEP) will be included in the

database and sub-categorized as per World-Check PEP criteria. Indirect Ownership: where the government has more than 50% ownership in one enterprise (subsidiary) through another state-owned enterprise (parent).

#### STATE-OWNED ENTERPRISE – NATIONAL GOVERNMENT

SOE-N

Legal entities in which national / federal government/state ultimately owns more than 50% of the entities shares. Senior officials (primary PEP) of such SOEs and their intimate family members and close associates (secondary PEP) will be included in the database and sub-categorized as per World-Check PEP criteria. Indirect Ownership: where the government has more than 50% ownership in one enterprise (subsidiary) through another state-owned enterprise (parent).

#### STATE-OWNED ENTERPRISE –SUB-NATIONAL GOVERNMENT

SOE-SN

Legal entities in which provincial, state or regional government ultimately owns more than 50% of the entities shares. Senior officials (primary PEP) of such SOEs and their intimate family members and close associates (secondary PEP) will be included in the database and sub-categorized as per World-Check PEP criteria. Indirect Ownership: where the government has more than 50% ownership in one enterprise (subsidiary) through another state-owned enterprise (parent).

#### STATE INVESTED ENTERPRISE

SIE

SIE'S are entities where the government/state holds more than 10% and equal to 50% direct, indirect and combined indirect shareholding. Senior officials of SIEs are not considered PEP and will not be profiled as such. Indirect Ownership: where the government has more than 10% and equal to 50% shareholding in one enterprise (subsidiary) through another state-owned enterprise (parent).

#### INSTRUMENTALITY OF STATE

IOS

Non-commercial, legal entities that do not have any shareholding, are primarily funded by government and whose primary mission is to provide a service to citizens.

## PEP RELATIONSHIPS<sup>1</sup>

#### IMMEDIATE RELATIVE

-R

- Spouse of a primary PEP
- Partner considered by national law as equivalent to spouse
- Unmarried partner or cohabitant
- Child or stepchild
- Spouse, partner, cohabitant of child (daughter-in-law/son-in-law)
- Sibling, stepsibling, or half sibling
- Parent or stepparent
- Parent-in-law
- Grandparent
- Grandchild
- Brother-in-law
- Sister-in-law

#### CLOSE ASSOCIATE INDIVIDUAL

-A

- A natural person who is a business associate, joint owner, fellow shareholder, or partner of a PEP
- Joint members of a company board of a non-public traded company not listed on a recognised exchange or an unregulated / unsupervised bank or financial institution
- Financial advisor, consultant, or accountant
- Legal Advisor, attorney, or lawyer
- Agent, representative or nominee

<sup>1</sup> Does not apply to SOEs, SIEs or IOSs.

- Private political advisor
- Current sexual partners outside the family unit or former sexual partners where children born from relationship

#### CLOSE ASSOCIATE ENTITY

-AE

A legal person such as private companies, entities, trusts, charities, foundations, or any other onshore or offshore vehicles controlled, 25%+ owned or co-owned by primary PEP, Secondary PEP (relative or associate), whether directly or indirectly (beneficial ownership).