

Anti-Money Laundering Questionnaire

If you answer "no" to any of the questions listed below, additional information can be supplied at the end of the questionnaire.

I. Basic Information

1. Full legal name	
2. Legal address	
3. Contact address	
4. Legal status (publicly held or privately owned; are your shares listed, if yes, on which stock exchange)	
5. Type of license for performing banking operations, issuing body	
6. List of jurisdictions where your subsidiaries are located	
7. Registration number, date of registration	
8. Ownership structure	
9. Management's structure; do you have any politically exposed persons in management?	
10. Your latest agency ratings	
11. Number of employees	
12. Number of branches	
13. Principle lines of business	
14. Name of local regulatory body regulating your activity	

II. General AML Policies, Practices and Procedures:	YES	NO
15. Is the Anti-Money Laundering (AML) compliance program approved by the Financial Institutions (FIs) board or a senior committee?	<input type="checkbox"/>	<input type="checkbox"/>
16. Does the FI have a legal and regulatory compliance program that includes a designated officer that is responsible for coordination and overseeing of the AML framework?	<input type="checkbox"/>	<input type="checkbox"/>
17. Has the FI developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions?	<input type="checkbox"/>	<input type="checkbox"/>
18. In addition to inspections by the government supervisors/regulators, does the FI client have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>
19. Does the FI have a policy prohibiting accounts/relationships with shell banks? (A shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.)	<input type="checkbox"/>	<input type="checkbox"/>
20. Does the FI have policies to reasonably ensure that they will not conduct transactions with or on behalf of shell banks through any of its accounts or products?	<input type="checkbox"/>	<input type="checkbox"/>
21. Does the FI have policies covering relationships with Politically Exposed Persons (PEPs), their family and close associates?	<input type="checkbox"/>	<input type="checkbox"/>
22. Does the FI have record retention procedures that comply with applicable law?	<input type="checkbox"/>	<input type="checkbox"/>
23. Are the FIs AML policies and practices being applied to all branches and subsidiaries of the FI both in the home country and in locations outside of that jurisdiction?	<input type="checkbox"/>	<input type="checkbox"/>
III. Risk Assessment	YES	NO
24. Does the FI have a risk-based assessment of its customer base and their transactions?	<input type="checkbox"/>	<input type="checkbox"/>
25. Does the FI determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that the FI has reason to believe pose a heightened risk of illicit activities at or through the FI?	<input type="checkbox"/>	<input type="checkbox"/>
IV. Know Your Customer, Due Diligence and Enhanced Due Diligence	YES	NO
26. Has the FI implemented processes for the identification of those customers on whose behalf it maintains or operates accounts or conducts transactions?	<input type="checkbox"/>	<input type="checkbox"/>
27. Does the FI have a requirement to collect information regarding its customers business activities?	<input type="checkbox"/>	<input type="checkbox"/>
28. Does the FI assess its FI customers AML policies or practices?	<input type="checkbox"/>	<input type="checkbox"/>
29. Does the FI have process to review and, where appropriate, update customer information relating to high risk client information?	<input type="checkbox"/>	<input type="checkbox"/>
30. Does the FI have procedures to establish a record for each new customer noting their respective identification documents and "Know Your Customer" (KYC) information?	<input type="checkbox"/>	<input type="checkbox"/>
31. Does the FI complete a risk-based assessment to understand the normal and expected transactions of its customers?	<input type="checkbox"/>	<input type="checkbox"/>

V. Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds	YES	NO
32. Does the FI have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities?	<input type="checkbox"/>	<input type="checkbox"/>
33. Where cash transaction reporting is mandatory, does the FI have procedures to identify transactions structured to avoid such obligations?	<input type="checkbox"/>	<input type="checkbox"/>
34. Does the FI screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities?	<input type="checkbox"/>	<input type="checkbox"/>
35. Does the FI have policies to reasonably ensure that it only operates with correspondent banks that possess licenses to operate in their countries of origin?	<input type="checkbox"/>	<input type="checkbox"/>
VI. Transaction Monitoring	YES	NO
36. Does the FI have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments such as traveller's checks, money orders, etc.?	<input type="checkbox"/>	<input type="checkbox"/>
VII. AML Training	YES	NO
37. Does the FI provide AML training to relevant employees that includes: <ul style="list-style-type: none"> ▪ Identification and reporting of transactions that must be reported to government authorities. ▪ Examples of different forms of money laundering involving the FIs products and services. ▪ Internal policies to prevent money laundering. 	<input type="checkbox"/>	<input type="checkbox"/>
38. Does the FI retain records of its training sessions including attendance records and relevant training materials used?	<input type="checkbox"/>	<input type="checkbox"/>
39. Does the FI communicate new AML related laws or changes to existing AML related policies or practices to relevant employees?	<input type="checkbox"/>	<input type="checkbox"/>
40. Does the FI employ third parties to carry out some of the functions of the FI?	<input type="checkbox"/>	<input type="checkbox"/>
41. If the answer to question 40 is yes, does the FI provide AML training to relevant third parties that includes: <ul style="list-style-type: none"> ▪ Identification and reporting of transactions that must be reported to government authorities, payable through accounts. ▪ Examples of different forms of money laundering involving the FIs products and services. ▪ Internal policies to prevent money laundering. 	<input type="checkbox"/>	<input type="checkbox"/>
VIII. Certification	YES	NO
42. We hereby certify that we do not run accounts for financial institutions who don't maintain a physical presence in any country and do not conduct transactions with or on behalf such financial institutions through any of its accounts or products. We also certify that we do not admit payable through accounts.	<input type="checkbox"/>	<input type="checkbox"/>

Space for additional information:

(Please indicate which question the information is referring to)

Name:
Title:
Signature:
Date: