

**Anti-Money Laundering Questionnaire**

If you answer "NO" to any question, additional information can be supplied at the end of the questionnaire.

**I. General Information**

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1. Legal Name of Financial Institution (FI) : .....
2. Registered Office Address : .....
3. Registration/License No : .....
4. Tax Identification No .....

**II. Ownership Structure**

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1. Is your Financial Institution publicly owned? YES NO
2. Is your Financial Institution listed on any stock exchange? YES NO  
If "YES", which one(s)?  
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3. If "NO", please provide a list of the beneficial owners, who own, control or have power to vote for 20 pct or more of any class of voting shares; or of the 10 largest shareholders, if no owner has greater than 20 pct.  
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**III. Regulatory Information**

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1. Please identify the regulatory authority that supervises your FI : .....
2. Has your country established laws designed to prevent Money Laundering and terrorist financing activities? YES NO
3. Does your FI adhere to the Anti-Money Laundering and special terrorist financing recommendations developed by the Financial Action Task Force (FATF)? YES NO
4. Has your FI been reviewed by any government authority for compliance with Anti-Money Laundering laws and regulations in the last five years? YES NO  
If "YES", please explain the reason and by which government authority?  
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## IV. General AML Policies, Practices and Procedures

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1.	Is the AML compliance program approved by the FI's board or a senior committee?	YES	NO
2.	Does the FI have a legal and regulatory compliance program that includes a designated officer, who is responsible for coordinating and overseeing the AML framework?	YES	NO
3.	Has the FI developed written policies documenting the processes that are in place to prevent, detect and report suspicious transactions? If "NO", when does your FI plan to introduce it? .....	YES	NO
4.	In addition to inspections by the government supervisors/regulators, does the FI have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis?	YES	NO
5.	Does the FI have a policy prohibiting accounts/relationships with shell banks? <i>(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 and which is not subject to inspection by the respective banking authorities.)</i>	YES	NO
6.	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?	YES	NO
7.	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?	YES	NO
8.	Does the FI have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates?	YES	NO
9.	Does the FI have record retention procedures that comply with applicable laws?	YES	NO
10.	Are the FI's AML policies and practices being applied to all branches, subsidiaries and affiliates of the FI both in the home country and in locations outside of that jurisdiction?	YES	NO

## V. Risk Assessment

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1.	Does the FI have a risk-based assessment of its customer base and their transactions?	YES	NO
2.	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?	YES	NO

## VI. Know Your Customer, Due Diligence and Enhanced Due Diligence

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1.	Has the FI implemented processes for the identification of those customers, on whose behalf it maintains or operates accounts or conducts transactions?	YES	NO
2.	Does the FI have a requirement to collect information regarding its customers' business activities?	YES	NO
3.	Does the FI assess its FI customers' AML policies or practices?	YES	NO
4.	Does the FI have a process to review and, where appropriate, update customer information relating to high risk client information?	YES	NO
5.	Does the FI have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information?	YES	NO
6.	Does the FI complete a risk-based assessment to understand the normal and expected transactions of its customers?	YES	NO

## VII. Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds

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1.	Does the FI have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities?	YES	NO
2.	Where cash transaction reporting is mandatory, does the FI have procedures to identify transactions structured to avoid such obligations?	YES	NO
3.	Does the FI screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities?	YES	NO

## VIII. Transaction Monitoring

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1.	Does the FI have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments such as travelers checks, money orders, etc?	YES	NO
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## IX. AML Training

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1.	Does the FI provide AML training to relevant employees that includes: <ul style="list-style-type: none"> <li>• Identification and reporting of transactions that must be reported to government authorities.</li> <li>• Examples of different forms of money laundering involving the FI's products and services.</li> <li>• Internal policies to prevent money laundering.</li> </ul>	YES	NO
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**I/We**, on behalf of “.....”  
confirm that, **I/we am/are** authorized to complete and sign this document and the above information is accurate, complete and correct in all material respects and contains no untrue or misleading statement and reflective of our Financial Institution’s Anti-Money Laundering and Know Your Customers policies, procedures and program.

Place and Date : .....

Full Name(s) : .....

Title(s) : .....

Signature(s) : .....

THANK YOU FOR YOUR COOPERATION

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- Questions referring to Financial Institution shall be considered by including all domestic and overseas branches, subsidiaries and affiliates in addition to the Head Office.
  - For the purpose of the Questionnaire, “physical presence” means a place of business located at a fixed address, in a country in which the bank is authorized to conduct banking activities; and where the bank employs individuals full time and maintains operating records related to banking activities; and where the bank is subject to inspection by the respective banking authority, which licensed the bank to conduct banking activities.