



Anti-Money Laundering (“AML”) Questionnaire for Financial Institution (“FI”)

A.E. Code:	Client Name:	Account No.:
------------	--------------	--------------

1. Corporate Information

Company Name	
In English	In Chinese
Country of Incorporation	Regulatory Body & Licence No. (if any)
Business Registration No.	Certificate of Incorporation No.
Registered Address 註冊地址	
Room, Floor, Block 室/層/座 Building/Street 樓宇/街道	Room, Floor, Block 室/層/座 Building/Street 樓宇/街道
City/State/Province 城市/洲/省 Postal Code 郵政編碼	City/State/Province 城市/洲/省 Postal Code 郵政編碼
Country 國家	Country 國家

If you answer “NO” to any question, an explanation must be supplied at the end of the questionnaire.

2. General AML Policies, Practices and Procedures

	Yes	No
1 Is the AML compliance program approved by either the FI's board or a senior committee?	<input type="checkbox"/>	<input type="checkbox"/>
2 Does the FI have a legal and regulatory compliance program that includes a designated officer that is responsible for coordinating and overseeing the AML framework?	<input type="checkbox"/>	<input type="checkbox"/>
3 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"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
5 Does the FI have policies to reasonably ensure that they will not conduct transactions with or on behalf of shell banks? (A shell bank is 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"/>
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?	<input type="checkbox"/>	<input type="checkbox"/>
7 Does the FI have policies covering relationships with Politically Exposed Persons (PEPs), their families and close associates?	<input type="checkbox"/>	<input type="checkbox"/>
8 Does the FI have record keeping procedures that comply with applicable law?	<input type="checkbox"/>	<input type="checkbox"/>
9 Are the FI's 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"/>

3. Risk Assessment

	Yes	No
10 Does the FI have a risk-based assessment of its client base and their transactions?	<input type="checkbox"/>	<input type="checkbox"/>
11 Does the FI determine the appropriate level of enhanced due diligence necessary for those categories of clients 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"/>

