



Anti-Money Laundering (AML) & Know Your Customer (KYC) Questionnaire

If you answer “no” to any question, additional information can be supplied at the end of the questionnaire.

Basic Information

Full legal name		
Legal address of Head Office		
Key Contact Person :	Name :	
	Title :	
	E-mail Address:	
	Contact Number	Tel :
Registration number, date of registration/License no :		
Ownership structure / shareholders Information	Publicly listed <input type="checkbox"/>	
	Privately owned <input type="checkbox"/>	
	Privately owned plus Publically listed <input type="checkbox"/>	
	Government owned <input type="checkbox"/>	
	Others <input type="checkbox"/>	
	Others (please specify):	
Management’s structure ; do you have any politically exposed persons in management?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Number of employees		
Number of branches		
Number of staff / people in the compliance team		
Names of the Board of Directors and Chairman		
Name of local regulatory body regulating your activity		
FATCA Status Please provide your GIIN NO. if applicable	GIIN NO :	



I. General AML Policies, Practices and Procedures:	Yes	No
Is the AML compliance program approved by the FI's board or a senior committee?		<input type="checkbox"/>
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"/>
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"/>
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"/>
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"/>
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"/>
Does the FI have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates?		<input type="checkbox"/>
Does the FI have record retention procedures that comply with applicable law?		<input type="checkbox"/>
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"/>
Risk Assessment	Yes	No
Does the FI have a risk-based assessment of its customer base and their transactions?		<input type="checkbox"/>
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"/>
Know Your Customer, Due Diligence and Enhanced Due Diligence	Yes	No
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"/>
Does the FI have a requirement to collect information regarding its customers' business activities?	<input type="checkbox"/>	<input type="checkbox"/>
Does the FI assess its FI customers' AML policies or practices?	<input type="checkbox"/>	<input type="checkbox"/>
Does the FI have a process to review and, where appropriate, update customer information relating to high risk client information?	<input type="checkbox"/>	<input type="checkbox"/>
Does the FI have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information?	<input type="checkbox"/>	<input type="checkbox"/>
Does the FI complete a risk-based assessment to understand the normal and expected transactions of its customers?	<input type="checkbox"/>	<input type="checkbox"/>



Transaction Monitoring	Yes	No
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?	<input type="checkbox"/>	<input type="checkbox"/>
AML Training	Yes	No
Does the FI provide AML training to relevant employees that includes: Identification and reporting of transactions that must be reported to government authorities. Examples of different forms of money laundering involving the FI's products and services. Internal policies to prevent money laundering.	<input type="checkbox"/>	<input type="checkbox"/>
Does the FI retain records of its training sessions including attendance records and relevant training materials used?	<input type="checkbox"/>	<input type="checkbox"/>
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"/>
Does the FI employ third parties to carry out some of the functions of the FI?	<input type="checkbox"/>	<input type="checkbox"/>
If the answer to question 26 is yes, does the FI provide AML training to relevant third parties that includes: Identification and reporting of transactions that must be reported to government authorities. Examples of different forms of money laundering involving the FI's products and services. Internal policies to prevent money laundering.	<input type="checkbox"/>	<input type="checkbox"/>
Certification	Yes	No
We hereby certify that we do not run account 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"/>

Financial Institution Authorized Signatory:

I Confirm that:

To the best of my knowledge, the above information is correct, accurate and reflective of my bank's Anti Money laundering Combating Terrorism Financing and Sanctions Compliance Policies, Procedures and Programs

Name:
Title:
Signature:
Date: