

Anti - Money Laundering Risk Assessment Questionnaire

Client Account Name:

Client Account Number:

To the best of your knowledge, does the client have the following features?

For Individual Client:

		YES	NO
1	Is the client linked to politically exposed persons ¹ /terrorist ² ?		
2	Is the nature of the client's business particularly susceptible to money laundering risk? (e.g., moneychanger or casino business that handle large amount of cash)		
3	Is there any reasonable suspicion or risk that money from the client might be arising from or related to proceeds of crime? (e.g. deposit large amount of cash, opening several accounts with no good reason, request for payment to be deposited under an offshore bank account)		
4	Is the account established through non face-to-face approach?		

For Corporate Client:

		YES	NO
1	Is the client linked to politically exposed persons ¹ / terrorist ² ?		
2	Is the nature of the client's business particularly susceptible to money laundering risk? (e.g., moneychanger or casino business that handle large amount of cash)		
3	Is there any reasonable suspicion or risk that money from the client might be arising from or related to proceeds of crime? (e.g. deposit large amount of cash, opening several accounts with no good reason, request for payment to be deposited under an offshore bank account)		
4	Is the account established through non face-to-face approach?		
5	Does the client have unduly complex structure for no good reason?		
6	Does the client operate in a country where there is lack of proper standards in the prevention of money laundering? (e.g. operate outside the FATF ³ member countries)		

Risk Assessment: HIGH / MEDIUM / LOW (See Remarks) (please circle as appropriate)

Completed by:

Responsible AE Name: CE No.:	Customer Service Name: CE No.:	Date:						
 <u>Remarks:</u> If the answers to any of the above questions other than Q1) is "YES", the Risk Assessment is "MEDIUM". 								

If the answers to Q1) or any two of the above questions are "YES", then Risk Assessment is "HIGH". Enhanced customer diligence 2.

procedure and approval from both Compliance Department and senior management is required for client account opening.

Reviewed by:		_ Result:	Remained / Revised to HIGH / MEDIUM / LOW
-	Compliance Department	-	
Date:		-	

1. Political exposed person - individual who is or has been entrusted with prominent public function(s), e.g. head of state/government, senior politician, senior executive of government of government-owned corporation, important political party official, etc. 2. "Terrorist" means a person who commit

"Terrorist" means a person who commits, or attempts to commit, a terrorist act or who participate in or facilitates the commission of a terrorist act.

3. Member of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Republic of Korea, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States of America, the European Commission and the Gulf Co-operation Council.

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