

**The International Banking Corporation B.S.C ©
Know Your Customer / Anti-Money Laundering
Due Diligence Questionnaire**

Respondent Name: _____

Address: _____

Your cooperation in completing this questionnaire is greatly appreciated.

		<i>Yes</i>	<i>No</i>
1.	<p>Is your Institution regulated and supervised by the Central Bank of the country where the commercial license has been issued?</p> <p>If not, which is the country of regulation?</p> <p>If your country is not a member of the Financial Action Task Force (FATF), please provide the name of the comparable organisation to which your country belongs?</p> <p>Has your country established laws designed to combat money laundering and terrorism finance?</p> <p>Please confirm the name of your regulatory body and registration license number.</p>		
2.	<p>Does your country's regulatory body (Central Bank) require all financial institutions to have anti money laundering (AML) and know you customers (KYC) procedures?</p> <p>If so, is your Institution in compliance with AML and KYC rules?</p>		
3.	<p>Does your Institution have written policies and procedures to fight money laundering?</p> <p>And, do your employees know them?</p>		
4.	<p>Has your institution appointed a senior officer responsible for its Anti-Money Laundering programme?</p> <p>Please provide their name, position title, mailing address, telephone number and email address.</p>		

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		<i>Yes</i>	<i>No</i>
5.	Does your Institution have an established audit and compliance review function to test the adequacy of AML procedures and policies?		
6.	Are there any established procedures/guidelines to monitor and report suspicious activities and transactions to the appropriate authorities?		
7.	Do your AML and KYC policies ensure that reasonable measures are in place to obtain information about the true identity of customers including banks and correspondents so as to ensure legitimate activities?		
8.	Has your Institution established AML permanent training programs for your employees and new comers?		
9.	Does your Institution deal with any shell bank where physical presence cannot be established? If so please state their name, 		
10.	Does your Institution maintain records on customer identification, account files and correspondence for a specific period of time and co-operate with local authorities so as to permit investigation of suspicious activities as well as provide, if necessary, evidence for prosecution of criminal behaviour?		
11.	Concerning incoming and outgoing funds transfers, does your Institution identify applicant's and beneficiary's names and addresses and full details including economical justifications?		
12.	Does your Institution have a policy of protecting employees if they report, in good faith, any suspicious activity?		

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		<i>Yes</i>	<i>No</i>
13.	Please state the names of the shareholders who, directly or indirectly, own, control or have a voting power exceeding 25 percent in any voting category. 		
15.	Do your AML and KYC policies cover your branches and affiliates?		
16.	Does your policy prohibit opening and maintenance of anonymous or numbered accounts? <i>(i.e. the account owner's name is not readily available)</i>		
17.	Does your regulator undertake monitoring visits to assess compliance with money laundering laws and regulations?		

I confirm that the above information is current, accurate and reflective of my institution's Know Your Customer / Anti – Money Laundering policies.

Name:

Signature:

Functions:

Telephone:

Company Name:

Email Address:

Seal/Stamp: