

防止洗黑錢及防止恐怖份子籌資活動問卷

Anti-Money Laundering and Anti-Terrorist Financing Questionnaire

(A) 本地客戶(如客戶屬香港居民或香港註冊公司) For Local Client (i.e. Client located or incorporated in Hong Kong)	
1. 閣下 / 貴公司是否與政界人士有聯繫? (政界人士: 指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長, 資深政客, 政府高級官員和重要政黨官員等) Are you / Is your company linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
2. 閣下 / 貴公司的業務性質是否特別容易蒙受較高的洗黑錢風險? (舉例: 如會接觸大量現金往來, 找換業或博彩業) Is the nature of your / your company's business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
3. 閣下 / 貴公司的金錢來源是否源於或涉及非法所得? 你認為有沒有存在任何合理懷疑或風險? Does your / your company's money might be arising from or related to proceeds of crimes? Is there any reasonable suspicion or risk?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
(B) 海外客戶(如非本港居民或客戶公司屬海外登記) For Overseas Client (i.e. Non-residents of Hong Kong or Company registered outside Hong Kong)	
1. 閣下居住的國家 / 貴公司的註冊的國家是否財務行動特別組織的成員? (財務行動特別組織成員包括: 阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、義大利、日本、韓國、盧森堡、馬來西亞、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、沙地亞拉伯、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會) Is the country that you located is / your company registered from a member of the Financial Action Task Force ("FATF")? (Members of FATF Include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, Korea, Luxembourg, Malaysia, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Saudi Arabia, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
2. 閣下居住的國家 / 貴公司的註冊國家是否已有現行的法律或條例立以制止洗黑錢的活動? Are you / your company located in a country with established laws / regulations designed to prevent money laundering?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
3. 如上題 (2) 的答案選擇“是”, 閣下 / 貴公司是否受到現行的法律或條例所管制? If the answer to (2) is YES, are you / is your company subject to such laws / regulations?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
4. 閣下 / 貴公司是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”? 如否, 請另外提交一份詳細的資料。 Have you / Has your company maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
(C) 如閣下工作的公司 / 貴公司的業務涉及處理第三者的資產(如基金經理, 股票經紀), 請回答以下的問題。 For client who works in a company with business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.	
1. 閣下工作的公司 / 貴公司(包括外國的分行及子公司)是否已制訂書面政策, 並執行內部程序和管理, 以打擊洗黑錢的活動? Has the company you work for / Has your company (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
2. 閣下工作的公司 / 貴公司所屬的機構, 就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告? In the company you work for / your company institution, are there documented procedures for reporting suspicious activities and transactions to the appropriate authorities?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
3. 閣下工作的公司 / 貴公司有否已制訂政策與程序, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於適用的法律所規定時限內予以保留? In the company you work for / Has your company institution, are there established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

註: 如 A 任何一項問題的答案是“是”的話, 風險評估將視之為“高”; 如 B 或 C 任何一項問題的答案是“否”的話, 風險評估將視之為“高”。客戶需被合規部獨立監視。負責的職員必須完成本行之進階盡職審查, 待問卷完成後, 才可交予上級批示。

Note: If the answer to part A of the following questions is "YES", the result of the risk assessment would be "High". If the answer to part B or part C of the following questions is "NO", the result of the risk assessment would be "High". The client is needed to be monitored by the Compliance independently. The responsible staff must complete the enhanced due diligence of our company prior to escalating to the superior for approval.

客戶 / 授權人士簽署 Client / Authorized Signatory(ies)

客戶姓名 Client Name : _____

日期 Date

戶口號碼 Account No : _____

清洗黑錢風險評估 Money Laundering Risk Assessment

高 High

一般 Normal

(如風險評估屬“高”, 須完成進階盡職審查才可予以批核開戶。 If Risk Assessment is "High", sign off after performance of enhanced due diligence procedures)

客戶主任/職員 Account Executive / Staff	合規及風險監控部 Compliance & Risk Control Dept	負責人員 Responsible Officer
填寫 Completed By	批核 Approved By	批核 Approved By
日期 Date:	日期 Date:	日期 Date: