

**Public Bank (Hong Kong) Limited**  
Anti-Money Laundering and Know Your Customer Questionnaire

Date: \_\_\_\_\_

Name of Respondent Institution: \_\_\_\_\_

Re: Anti-Money Laundering and Know Your Customer Questionnaire (“AML Questionnaire”)

As part of our due diligence process, it is necessary for us to obtain **further** information from your Institution. We would therefore be grateful if your Institution would send the completed Questionnaire by swift to CBHKHKHH or via email to [ficom@publicbank.com.hk](mailto:ficom@publicbank.com.hk) or by fax to (852) 2543-4849 or by mail to Public Bank (Hong Kong) Limited, Public Bank Centre, 120 Des Voeux Road Central, Hong Kong, Attention: Financial Institutions Department.

**Ownership Information**

Name of <u>ultimate beneficial owner</u> (s) who owns or controls more than 10% of the shares in your institution (Please indicate percentage of ownership for each shareholder/owner or provide separate sheet/chart on it.) If no shareholder has the shareholding or control 10% or more, name of the top 10 largest ultimate beneficial owners.	<u>Name</u>	<u>Ownership (%)</u>

**General AML Policies, Practices and Procedures**

		Yes	No
1.	Are there any material findings/ irregularities noted during the latest audit and/or examination by supervisory authority?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does FI's AML/CFT Policy include “Customer Due Diligence” process when <ul style="list-style-type: none"> <li>i) carrying out occasional transaction above USD/EUR 15,000;</li> <li>ii) carrying wire transfers in the circumstances covered by Recommendation 16 of FATF;</li> <li>iii) there is a suspicion of money laundering or terrorist financing; or</li> <li>iv) FI has doubt about the veracity of adequacy of previously obtained customer identification data</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Does FI have policies prohibiting from keeping anonymous accounts?	<input type="checkbox"/>	<input type="checkbox"/>
4.	Does FI take reasonable measures to establish source of relevant wealth and funds and obtain senior management approval before establishing or continuing relationship with PEP	<input type="checkbox"/>	<input type="checkbox"/>
5.	When FI relies on third party to perform CDD procedures, does FI satisfy that such third party has measures in place to comply CDD requirement in line with FATF recommendation and the copies of relevant CDD related documents will be made available to FI upon request without delay?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Does FI apply Enhanced Due Diligence to business relationship and transactions with customers from countries which do not or insufficiently apply the FATF Recommendation?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does FI assess the respondent institution's AML/CFT controls?	<input type="checkbox"/>	<input type="checkbox"/>