CGSCIMB

AML/ CFT Customer Due Diligence (CDD) Questionnaire	
Background Of Your Institution	
Name of Company / Institution	
Principal business activity	
Name of Primary Regulator	
If you are member of a Stock Exchange, please provide Name of Primary Stock Exchange and memberships details (eg Trading member, Clearing member)	
Registration No.	
Date of incorporation	
Registered business address	
Mailing address	
Website address	
Name & Title of Designated Compliance Officer	
Telephone	
Fax	
Email	
Name of External Auditor	

	General AML/CFT Practices	**YES**	**NO**
1	Has your regulator published guidance notes/policies/laws to combat money laundering/terrorist financing, and is your institution subjected to, and fully complies with such laws?		
2	Has your institution been subjected to sanctions or punitive actions in relation to anti-money laundering and anti-terrorism financing by the regulators/ law enforcement agencies in the past five years? If the answer is 'Yes', please provide additional details of the nature of the sanction and the correction action taken?		
3	Does your institution have an appointed senior officer responsible for your institution's day to day anti-money laundering and anti-terrorism financing program?		
4	Has your institution been inspected by your regulator? If yes, please provide the last date of inspection. In the inspection, were there any AML/CFT related observations being highlighted. If yes, please elaborate.		
	General AML/CFT Practices	**YES**	**NO**
5	In addition to inspection by the regulator, does your institution have an internal audit and compliance function or other independent third party to monitor and review the effectiveness of the AML/CFT policy and compliance program on a regular basis?		

General AML/CFT Practices		YES	NO
6a	Does your institution has other domestic/ overseas branches/ overseas subsidiaries?		
6b	If the answer to Q6 (a) is 'yes', are they subject to the head office AML/ CFT policy and compliance program? This question is not applicable if the answer in Q6 (a) is 'no'.		
AML/CFT Policy & Procedures		**YES**	**NO**
7	Has your institution developed written AML/CFT policy and procedures which have been duly approved by the Board/ Senior Management covering the following:		
a	establishing the true identity of customers and beneficial owners, collecting and recording sufficient information on the customers and screening customers and transactions against sanction lists issued by competent authorities/international bodies;		
b	prohibiting accounts/relationships with shell financial institution /anonymous accounts? (A shell financial institution means a institution incorporated, formed or established in a jurisdiction where it has no physical presence and is unaffiliated with a regulated financial group);		
c	conducting the appropriate customer due diligence on politically exposed persons (PEPs) and their family and close associates, reliance on intermediaries, beneficiary accounts, non-face-to-face business relationships, higher risk customers and existing customers;		
d	detection, monitoring and reporting of suspicious transactions to authorities;		
e	record retention procedures that comply with applicable laws;		
f	risk based assessment of your customers and to conduct the appropriate level of customer due diligence;		
g	the roles and responsibilities of key personnel in relation to anti-money laundering and anti- terrorism financing compliance.		
h	identification and reporting of transactions that are required to be reported to the authorities.		
Transaction Monitoring		**YES**	**NO**
8	Does your institution have a monitoring mechanism / system to monitor potentially suspicious and unusual activity? If the answer is 'Yes', please provide additional details of the mode of monitoring and methods employed.		
AML/CFT Training		**YES**	**NO**
9a	Does your institution conduct periodic training to relevant employees that include the detection, monitoring and reporting of suspicious transactions to the relevant authority?		
9b	If the answer is "Yes", does your institution retain records of its training materials and attendance records?		

AML/CFT Training		YES	NO
10a	Does your institution employ agents or third parties to carry out some of its business activities?		
10b	If the answer is "Yes", does your institution provide training to the relevant agents that include detection, monitoring and reporting of suspicious transactions to the relevant authority?		
Correspondent Relationship		**YES**	**NO**
11a	Does your institution allow direct use of the correspondent account by Customer/Third parties / Broker-Dealer to transact business on your behalf? (payable-through account)		
11b	If the answer is "Yes", does your institution assess and examine the AML/CFT controls of those client institutions, satisfy that their measures comply with the regulatory standards in the countries / jurisdictions that it operate.		
11c	Does your institution perform ongoing monitoring for potentially nested correspondent account* transactions and suspicious activity? *Nested correspondent account services refer to the use of a Capital Markets Intermediary's account relationship by a number of respondent financial institutions through their relationships with Capital Markets Intermediary's direct respondent financial institution, to conduct transactions and obtain access to other financial services.		
12	Are you able to provide the relevant customer information (subject to your home country regulations) to CGS-CIMB upon request from our regulator(s)? If the answer is "No", please indicate how can you release the information to us to fulfill our regulatory obligation.		

In addition, please provide us with a copy of the following;

   i)   Organization Chart

   ii)   Latest Annual Report

I confirm that I am authorized to complete this document.

Name & Business Title	Signature
Contact details & Email:	
Date	Company Stamp