

CDD Form for Institutional Clients

AML/CFT Customer Due Diligence (CDD) Questionnaire		
Background Of Your Institution		
	Institution	
	Stock Exchange listing	
	Principal business activity	
	Registration No.	
	Date of incorporation	
	Registered Office	
	Mailing address	
	Website address:	
	Name & Title of Designated Compliance Officer	
	Telephone:	
	Fax	
	Email	
	Regulator	
	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 complied 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 enforcer in the past five years?	
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 subjected to inspection by the regulator? If yes, please provide the last date of inspection.	
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?	
6	Are your domestic and overseas branches and overseas subsidiaries subjected to the Head Office AML/CFT policy and compliance program?	
AML/CFT Policy & Procedure		
7	Has your institution developed written AML/CFT policy and procedure, duly approved by the Board 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 banks/anonymous accounts? (A shell bank is defined as a bank incorporated in a jurisdiction that has no physical presence and is unaffiliated with a regulated financial group);	
c.	Conducting the appropriate customer due diligence on politically exposed persons (PEPs), 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 its 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.	

Transaction Monitoring			
8	Does your institution have a monitoring mechanism / system to monitor suspicious or unusual activity?		
AML/CFT Customer Due Diligence (CDD) Questionnaire			
AML/CFT Training			
9	Does your institution conduct periodic training to relevant employees that include the detection, monitoring and reporting of suspicious transactions to the relevant authority and if so, does your institution retain records of its training materials and attendance records?		
10	Does your institution employ agents to carry out some of its business activities and if so, does your institution provide training to the relevant agents that include detection, monitoring and reporting of suspicious transactions to the relevant authority?		
Correspondent Banking Relationship			
11	Does your institution allow direct use of the correspondent account by third parties to transact business on their behalf?		

I confirm that I am authorized to complete this document.

Name & Business Title	Signature
Contact details:	Date :