



“Self-Assessment Questionnaire” of the Financial Institution

Basic information

1. Full legal name _____

2. Legal / contact address _____

3. SWIFT _____ 4. Official website _____

5. Organizational legal form _____

6. License Type _____

License No. _____ License date _____
dd mm yyyy

7. Name of licensing authority _____

8. Do you possess offshore banking license Yes No

9. Number of branches and subsidiaries _____

10. Countries of location
of branches/subsidiaries _____

11. State registration number _____ Date _____
dd mm yyyy

12. Rating _____

13. Number of employees _____

14. Types of banking activity _____

15. Share capital in USD _____

16. Shareholders structures:	Shares %
State authorities	_____
Individuals	_____
Entities	_____



17. Basic shareholders:

Shareholder (individual and entity)	% share (>10%)
_____	_____
_____	_____
_____	_____
_____	_____

18. Name of state authority supervising monetary financial institutions:

_____ (specify website)

19. Do you possess USA PATRIOT ACT certificate? Yes No

19.1 If Yes, indicate certification date: _____
dd mm yyyy

20. Please provide:

FATCA status: _____

GIIN: _____
symbol format: 6 5 2 3

21. Is there Political exposed person in the management structure?

(political exposed person of foreign state for resident banks) Yes No

First name, family name, patronymic	Position	Shares %
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

General AML Policies, Practices, and Procedures:

In case of "No" answer, additional information may be provided at the end of self-assessment questionnaire.

22. Have the Internal Supervision System been approved by management of the bank? Yes No



23. Person responsible for AML/CFT rules and procedures / Compliance Officer

Full name (first name, surname): _____

Position: _____

Email address: _____

Contact phone: _____

24. Has the FI developed written policies documenting the processes that they have in place to prevent,

detect and report suspicious transactions (if **Yes**, please provide) Yes No

25. In addition to inspections by the government supervisors/regulators, does the FI client have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis? Yes No

26. Does the FI have a policy prohibiting accounts/relationships with "Shell-banks"? Yes No

27. Does the FI have policies to reasonably ensure that they will not conduct transactions with / on behalf of shell banks through any of its accounts or products? Yes No

28. Are there rules and procedures covering relationships with Political Exposed Person (political exposed person of foreign state for resident banks) in the bank? Yes No

29. Does the FI have record retention and confidentiality procedures that comply with applicable law? Yes No

30. Are AML/CFT rules applied to all branches/subsidiaries/representatives located:

30.1 Within the country of location of the bank? Yes No

30.2 Outside of the country of location of the bank? Yes No

Risk assessment

31. Does the FI have a risk-based assessment of its customer base and transactions? Yes No

32. Does the FI conduct EDD with regard to high risk clients on transactions? Yes No



Identification, verification and additional identification measures

- 33.** Has the FI implemented processes for the identification of those customers on whose behalf it maintains or operates accounts or conducts transactions? Yes No
- 34.** Does the FI have a requirement to collect information regarding its customers' business activities? Yes No
- 35.** Does the FI assess its FI customers' AML policies or practices? Yes No
- 36.** Does the FI have a process to review and where appropriate, update customer information relating to high risk client information? Yes No
- 37.** Does the FI have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information? Yes No
- 38.** Does the FI complete a risk-based assessment to understand the normal and expected transactions of its customers? Yes No

Detection, prevention of suspicious transactions and submission of information

- 39.** Does the FI have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities? Yes No
- 40.** Where cash transaction reporting is mandatory, does the FI have procedures to identify transactions structured to avoid such obligations? Yes No
- 41.** Does the FI screen customers and transactions against lists issued by:
- 41.1** Government / competent authorities? Yes No
- 41.2** EU, UN Security Council, OFAC etc.? Yes No
- 42.** Does the FI have policies to reasonably ensure that it only operates with correspondent banks that possess licenses to operate in their countries of origin? Yes No



43. Does the FI adhere to the Wolfsberg Transparency Principles and the appropriate usage of the SWIFT MT 202/202COV and MT 205/205COV message formats? Yes No

Source : [http://www.wolfsberg-rinciples.com/pdf/standards/Wolfsberg_NYCH_Statement_on_Payment_Message_Standards_\(2007\).pdf](http://www.wolfsberg-rinciples.com/pdf/standards/Wolfsberg_NYCH_Statement_on_Payment_Message_Standards_(2007).pdf)

44. Does the Bank provide Nested account service? Yes No

45. Does the Bank conduct Payable Through transactions? Yes No

Transaction monitoring

46. Does the FI have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments such as travelers checks, money orders, etc.? Yes No

AML / CFT training

47. Does the FI provide AML training to relevant employees that includes: Yes No

- Identification and reporting of transactions that must be reported to government authorities;
- Examples of different forms of money laundering involving the FI's products and services;
- Internal policies to prevent money laundering.

48. Does the FI retain records of its training sessions including attendance records and relevant training materials used? Yes No

49. Does the FI communicate new AML related laws or changes to existing AML related policies or practices to relevant employees? Yes No

50. Does the FI employ third parties to carry out some of the functions of the FI? Yes No

50.1 If "YES", does the FI provide training to relevant third parties that includes:

Yes No

- Identification and reporting of transactions that must be reported to government authorities.
- Examples of different forms of money laundering involving the FI's products and services.
- Internal policies to prevent money laundering.

51. We hereby confirm that we do not open shell-bank accounts and do not exercise transactions directly in favor of those banks or with the use of their any product. Yes No



Please, provide copy of following applicable documents: **1) Regulations; 2) State registration; 3) License; 4) Patriot Act; 5) FATCA W8/W9 and; 6) Full Management list with their title (members of Supervisory Board, Management Board, Senior Financial Director); 7) CRS questionnaire**

For additional information

(Please indicate to which question the information is regarded)

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Name:
Position:
Date:

Signature:

Seal:

