



Anti - Money Laundering Risk Assessment Questionnaire

Client Account Name: _____

Client Account Number: _____

To the best of your knowledge, does the client have the following features?

For Individual Client:

Please ✓ as appropriate

Table with 4 rows and 3 columns (Question, YES, NO) for individual client risk assessment.

For Corporate Client:

Table with 6 rows and 3 columns (Question, YES, NO) for corporate client risk assessment.

Risk Assessment: HIGH / MEDIUM / LOW (See Remarks) (please circle as appropriate)

Completed by: _____

Responsible AE

Name:

CE No.:

Customer Service

Name:

CE No.:

Date: _____

Remarks:

- 1. If the answers to any of the above questions other than Q1) is "YES", the Risk Assessment is "MEDIUM".
2. If the answers to Q1) or any two of the above questions are "YES", then Risk Assessment is "HIGH". Enhanced customer diligence procedure and approval from both Compliance Department and senior management is required for client account opening.

Reviewed by: _____ Result: _____ Remained / Revised to HIGH / MEDIUM / LOW
Compliance Department

Date: _____

1. Political exposed person - individual who is or has been entrusted with prominent public function(s), e.g. head of state/government, senior politician, senior executive of government of government-owned corporation, important political party official, etc.
2. "Terrorist" means a person who commits, or attempts to commit, a terrorist act or who participate in or facilitates the commission of a terrorist act.
3. Member of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Republic of Korea, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States of America, the European Commission and the Gulf Co-operation Council.