



反洗黑錢問卷 Anti-Money Laundering Questionnaire

客戶名稱

Client name: _____

Account No.

賬戶號碼: _____

1. 貴國是否已就打擊洗黑錢及恐怖分子融資活動制定相關法例或條例?
How your country established laws/regulations designed to prevent money laundering and terrorist financing?
☐ 是 Yes ☐ 否 No
2. 貴公司是否受該法例及條例所管制?
Is your company subject to such laws and regulations ?
☐ 是 Yes ☐ 否 No
3. 哪個監管機構負責監管該法例或條例?
Which regulatory body oversees compliance in accordance with such laws and regulations ?
4. 貴公司是否已就打擊洗黑錢及恐怖分子融資活動制定具體書面的內部監察政策及程式?
Has your company established written internal policies or procedures to combat money laundering and terrorist financing ?
☐ 是 Yes ☐ 否 No
如是，該政策及程式可包括以下事項：
If yes, do they include :
 - ☐ 「認識你的客戶」指引 Know your customers standard
 - ☐ 可疑活動報告 Suspicious activities reporting
 - ☐ 合規及監控審查 Compliance and audit review
 - ☐ 反洗黑錢訓練 Anti-money laundering training
 - ☐ 認內部控制程式 Internal control processes
5. 目該洗黑錢政策是否同時適用於 貴公司所有海外分行及附屬機構?
WIs the money laundering policy applicable to your home entities also applied to your foreign branches and subsidiaries?
☐ 是 Yes ☐ 否 No
6. 該洗黑錢政策的實施是否受固定的監察?
Is implementation of anti-money laundering policy monitored on a permanent basis ?
☐ 是 Yes ☐ 否 No
7. 閣貴公司是否於任何國家與並無實際業務的銀行(即空殼銀行)有業務往來?
Does your company conduct business with banks having no physical presence in any countries (i.e. shell banks)?
☐ 是 Yes ☐ 否 No

8. 貴公司是否容許第三者直接使用帳戶並以個人名義通匯往來業務(即過渡帳戶)?
Does your company allow direct use of correspondent account by third parties to transact business on their behalf (i.e. Payable-through accounts)?
- ☐ 是 Yes ☐ 否 No
9. 貴公司是否持有身份不明的帳戶?
Does your company have any anonymous accounts?
- ☐ 是 Yes ☐ 否 No
10. 貴公司在執行盡責調查工作時是否有利用可靠獨立的資料來源所提供的檔、數據或資料鑒別客戶身份?
Does your company verify customers' identity using reliable independent source of documents, data or information as part of due diligence process?
- ☐ 是 Yes ☐ 否 No
11. 貴公司是否曾經有因違反反洗黑錢法律而被罰款?如有, 請提供詳情。
Has your company been fined for a breach of anti-money laundering legislations? If yes, please provide details.
- ☐ 是 Yes ☐ 否 No

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12. 貴公司財富來源
Source of wealth of your company
- ☐ 業務利潤 Business profits ☐ 投資 Investment ☐ 其他(請述明) Others (please specify) _____

13. 貴公司資金來源
Source of funds of your company
- ☐ 香港 Hong Kong ☐ 中國 Mainland China ☐ 美國 United States ☐ 加拿大 Canada
- ☐ 其他(請述明) Others (please specify) _____

14. 貴公司是否有委派合規主任負責安排反洗黑錢?
Has your company appointed compliance officer responsible for anti-money laundering arrangements?
- ☐ 是 Yes ☐ 否 No

如是, 請提供合規主任的個人資料以作日後參考之用:

If yes, please provide the contact details of such anti-money laundering officer in your company for future references:

姓名 Name:

職銜 Title:

電話號碼 Phone Number:

傳真號碼 Fax Number:

電郵信箱 Email Address:

地址 Address:

Name:

Authorised signature with Company Chop