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C.E. 編號: BFI474

賬戶名稱 A/C Name: _____
賬戶號碼 A/C No.: _____
經紀 AE: _____

防止洗黑錢及防止恐怖份子籌資活動問卷 (個人)
ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING QUESTIONNAIRE (Individual)

請選答(i)、(ii)或(iii)其中一項及簡簽 PLEASE ANSWER AND INITIALIZE FOR EITHER PART (i), (ii) OR (iii).

註:【如以下任何一項問題的答案是“否”的話,風險評估將視之為“高”。負責的職員/經濟必須完成本行之進階盡職審議,待問卷完成後,才可交予上級批示。】
Note: If the answer to any of the following questions is "No", the result of the risk assessment would be "High". The responsible staff must complete the enhanced due diligence of our company prior to escalating to the superior for approval.

(i) 本地客戶(如香港居民) For Local Client (i.e. Residents of Hong Kong)

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| <p>A 閣下並沒有與政界人士有聯繫? (政界人士:指目前或以往曾經擔任重要公職的人士,如國家或政府的首長,資深政客,政府高級官員和重要政黨官員等)
Are you not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>B 閣下的業務性質並不是特別容易蒙受較高的洗黑錢風險?(舉例:如會接觸大量現金往來,找換業或博彩業)
Is the nature of your business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>C 閣下的金錢來源並不是源於或涉及非法所得?
Does your money might not be arising from or related to proceeds of crimes?</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |

(ii) 海外客戶(如非本港居民) For Overseas Client (i.e. Non-residents of Hong Kong)

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|--|---|
| <p>A 閣下居住的國家是否財務行動特別組織的成員?(財務行動特別組織成員包括:阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)
Is the country that you located is a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian, Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>B 閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動?
Are you located in a country with established laws/regulations designed to prevent money laundering?</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>C 如上題(B)的答案選擇“否”,閣下是否受到現行的法律或條例所管制?
If the answer to (B) is NO, are you subject to such laws/regulations?</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>D 閣下是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”?
如否,請另外提交一份詳細的資料。
Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?
If no, please provide details on a separate sheet.</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |

(iii) 如閣下的業務涉及處理第三者的資產(如基金經理,股票經紀),請回答以下的問題。
For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

- | | |
|---|---|
| <p>A 閣下(包括外國的分行及子公司)是否已制訂書面政策,並執行內部程序和管理,以打擊洗黑錢的活動?
Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>B 閣下所屬的機構,就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告?
Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |
| <p>C 閣下所屬的機構有否已制訂政策與程序,確保已採用合理方法去取得客戶真正身份的資料,並將有關資料於適用的法律所規定時限內予以保留?
Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law?</p> | <p><input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No</p> |

賬戶名稱 A/C Name: _____
 賬戶號碼 A/C No.: _____
 經紀 AE: _____

防止洗黑錢及防止恐怖份子籌資活動問卷 (公司)
ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING QUESTIONNAIRE (Corporate)

請選答(i)、(ii)或(iii)其中一項及簡簽 PLEASE ANSWER AND INITIALIZE FOR EITHER PART (i), (ii) OR (iii).

註：【如以下任何一項問題的答案是“否”的話，風險評估將視之為“高”。負責的職員必須完成本行之強化的盡職審查，待完成後，才可交予上級批示。】
 Note: If the answer to any of the following questions is "No", the result of the risk assessment would be "High". The responsible staff must complete the enhanced due diligence of our company prior to escalating to the superior for approval.

(i) 本地客戶(如客戶公司屬香港登記) For Local Client (i.e. Company registered in Hong Kong)

- | | |
|--|---|
| <p>A 貴公司並非與政界人士有聯繫？(政界人士:指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等)
 Is your company not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>B 貴公司的業務性質並不是特別容易蒙受較高的洗黑錢風險？(舉例:如會接觸大量現金往來的找換業或博彩業)
 Is the nature of your company's business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>C 貴公司的金錢來源不是源於或涉及非法所得？
 Does your company's money might not be arising from or related to proceeds of crimes?</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |

(ii) 海外客戶(如客戶公司屬海外登記) For Overseas Client (i.e. Company registered outside Hong Kong)

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|--|---|
| <p>A 貴公司的註冊國家是否財務行動特別組織的成員？(財務行動特別組織成員包括:阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)
 Is the country that your company registered from a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian, Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>B 貴公司的註冊國家是否已有現行的法律或條例立以制止洗黑錢的活動？
 Are you located in a country with established laws/regulations designed to prevent money laundering?</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>C 如貴公司於第(B)題的答案選擇“是”，貴公司是否受到現行的法律或條例所管制？
 If the answer to (B) is YES, is your company subject to such laws/regulations?</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>D 貴公司是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”？如否，請另外提交一份詳細的資料。
 Has your company maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |

(iii) 如貴公司的業務涉及處理第三者的資產(如基金經理，股票經紀)，請回答以下的問題。

For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

- | | |
|---|---|
| <p>A 貴公司(包括外國的分行及子公司)是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的活動？
 Has your company (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>B 貴公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？
 Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |
| <p>C 貴公司有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於適用的法律所規定時限內予以保留？
 Has your company established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a period of time specified by the applicable law?</p> | <input type="checkbox"/> 是 Yes
<input type="checkbox"/> 否 No |

客戶簽署 Client's Signature(s) : _____ 日期 Date : _____

以下由本公司填寫：/ For internal use only:

填寫 Prepared By: _____	簽名核對 Signature Verified By: _____	結餘查核 Balance Checked By: _____
輸入 Input By: _____	輸入核對 Input Checked By: _____	批核 Approved By: _____