

Kindly complete requirements of all sections below:

1. Basic Correspondent Banking Relationship Information:

1.1 Full Legal Name:	
1.2 Physical address of registered office:	Street and city: Country:
1.3 Physical address of head office (if different from above):	Street and city: Country:
1.4 Registered Address of Correspondent's Parent (where applicable):	
1.5 Commercial Registration Number:	
1.6 License Type & Number:	
1.7 Name & Address of Regulatory/ Supervisory Authority:	
1.8 Nature of Business, Major Business Activities and its Location:	
1.9 Location of Correspondent Bank's Customers:	
1.10 Purpose of account/relationship with BBK:	
1.11 Key Contact Person:	
Name:	
Title:	
Telephone Number:	
Fax Number:	
E-Mail Address:	
Official Website Address:	

2. Ownership & Management Structure

2.1 Provide information about your institution's ownership and management structure:
(Please state if they are contained in the latest annual report or official website)

2.2 If your institution is listed in a Stock Exchange, please provide the name of the Stock Exchange.

3. Country Regulations

Information about the country in which institution is located and its regulations:

No	Compliance Requirements	Yes	No
1.	Is money laundering and terrorist financing a criminal offence in the country where your institution is located?		
2.	Are there any anti-money laundering and combating terrorist financing laws and regulations in place and are these laws applicable to your institution?		
3.	Do these laws and regulations require your institution to:		
	3.1 Comply with Financial Action Task Force (FATF) recommendations?		
	3.2 Comply with internationally accepted KYC (Know Your Customer) standards?		
	3.3 Establish effective controls to detect money-laundering, terrorist financing and / or applicable Sanctions' violations?		
	3.4 Report any suspicious transactions to the regulator and/or law enforcement body?		
4.	Do these laws and regulations prohibit your institution to:		
	4.1 Open or maintain anonymous or numbered accounts?		
	4.2 Conduct business with banks that does not have a physical presence (i.e. shell banks)?		

5.	Is the country in which your institution operates identified by FATF as being "non-co-operative" in the fight against money laundering?		
6.	Does the country in which your institution operates implement KYC policies?		

4. Institution Anti-Money Laundering (AML) Measures

Information about Anti Money Laundering measures within the institution:

No	General AML Policies, Practices and Procedures	Yes	No
1.	Has your institution established written policies and procedures approved by Senior Management/Board of Directors with regards to combating money laundering and terrorist financing, prior to entering a business relationship with any clients, according to FATF standards and controls?		
2.	If yes, do the AML policies and procedures comply with KYC standards?		
3.	Does your institution have a legal and regulatory compliance program that includes a designated Compliance Officer that is responsible for coordinating and overseeing the AML program on a day-to-day basis, which has been approved by senior management? If yes, please provide the below information: <ul style="list-style-type: none"> • Name: _____ • Position Title: _____ • Telephone number: _____ • Email address: _____ 		
4.	Has your institution developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions that has been approved by senior management?		
5.	In addition to inspections by government supervisors/regulators, does your institutions have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis?		
6.	Does your institution: <ul style="list-style-type: none"> a. Maintain anonymous or numbered accounts? 		
	<ul style="list-style-type: none"> b. Conduct business with banks that do not have a physical presence and are unaffiliated with a regulated financial group (ie. Shell banks)? 		
	<ul style="list-style-type: none"> c. Have a policy prohibiting accounts/relationships with shell banks? If yes, do these policies reasonably ensure that your institution will not conduct transactions with or on behalf of shell banks through any of its accounts or products? 		

AML Questionnaire on the Prevention of Money Laundering

7.	Does your institution have policies covering relationships with politically exposed persons (PEPs), their families and close associates consistent with industry best practice?		
8.	Does your institution have appropriate record retention procedures pursuant to applicable law? If yes, please state the period of retention.		
9.	Does your institution require that the AML policies and procedures be applied to all branches and subsidiaries in both the home country and locations outside of the jurisdiction?		
Risk Assessment		Yes	No
10.	Does your institution have a risk focused assessment of its customer base and transactions of its customers?		
11.	Does your institution determine the appropriate levels of enhanced due diligence necessary for those categories of customers and transactions that your institution has reason to believe pose a heightened risk of illicit activities at or through your institution (eg. PEPS, charities, trusts, etc.)?		
Know Your Customer, Due Diligence and Enhanced Due Diligence		Yes	No
12.	Has your institution implemented systems for the identification of its customers, including customer information in the case of recorded transactions, account opening, etc. on whose behalf it maintains or operates accounts or conducts transactions? (For example: name, nationality, address, telephone number, occupation, date of birth, number and type of valid official identification showing country/state that has issued it).		
13.	Does your institution have obligations to collect information relating to customer's and beneficial owner(s)' source of wealth and source of funds?		
14.	Does your institution have a process to review and, where appropriate, update customer information for all clients, specifically high risk customers? If yes, how frequently is customer due diligence/KYC information updated?		
15.	Does your institution have procedures to establish a record for each new customer noting their respective identification documents and Know Your Customer Information collected at account opening?		
16.	Does your institution complete a risk based assessment to understand the normal and expected transactions of its customers?		
17.	Does your institution apply customer due diligence (CDD) on institutions to which you offer Correspondent Banking services?		
18.	Does your institution have a requirements to collect information regarding its customers' business activities?		
19.	Does your institution collect information and assess its customers' AML policies or practices?		
20.	Does your institution provide relevant customer identification information on request to any correspondent bank?		
21.	Does your institution maintain a compliance program of internal controls including employee screening and training, audit and senior management oversight of anti-money laundering and counter-terrorism financing obligations?		

Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds		Yes	No
22.	Does your institution have policies or practices for the identification and reporting of transactions that are required to be reported to the relevant authorities?		
23.	Does your institution have internal policies of encouraging staff members to report suspicious transactions?		
24.	Does your institution have procedures to identify transactions structured to avoid large cash reporting requirements?		
25.	Does your institution screen customers and transactions against lists of persons, entities or countries issued by government/international bodies? <ul style="list-style-type: none"> • United Nations: Yes No • OFAC: Yes No • Other local regulations: 		
26.	Does your institution have policies to reasonably ensure that it only operates with correspondent banks that possess licenses to operate in their countries of origin?		
27.	Does your institution adhere to Wolfsberg payment message standards and the appropriate usage of the SWIFT MT 202/202COV message format?		
28.	Does your institution have effective anti-money laundering and counter-terrorism controls on new technologies, and when dealing in non-face to face interactions or through intermediaries?		
Transaction Monitoring		Yes	No
29.	Does your institution have a monitoring program for suspicious or unusual activity that covers funds transfers and monetary instrument (such as travellers checks, money orders, etc.)?		
30.	Does your institution have monitoring or screening programs for identifying the transactions related to persons/entities suspected of ML/TF, comprised in official lists of appropriate authorities?		
AML Training		Yes	No
31.	Does your institution provide AML training to relevant employees that includes: <ul style="list-style-type: none"> • Identification and reporting of transactions that must be reported to government authorities • Examples of different forms of money laundering involving your institutions products and services • Internal policies to prevent money laundering and combating financing of terrorism 		
32.	Does your institution retain records of its training sessions including attendance records and relevant training materials used?		
33.	Does your institution have policies to communicate new AML related laws or changes to existing AML related policies or practices to relevant employees?		

34.	Does your institution employ agents to carry out some of the functions of your institution? If yes, does your institution provide AML training to relevant agents that includes identification and reporting of transaction that must be reported to government authorities, examples of different forms of money laundering involving your institutions products and services and internal policies to prevent money laundering?		
Nested and Payable Through Accounts		Yes	No
35.	Does your institution allow third party entities to use or have direct access to the correspondent banking services without reference to the respondent bank (e.g. in the case of payable through accounts)? If yes, do you verify the identity of the third party entity?		
36.	Does your institution provide undisclosed Nested/Downstream Correspondent bank accounts?		
AML/CFT Regulatory Environment		Yes	No
37.	Has your institution been subjected to a money laundering or terrorist financing investigation?		
38.	Has your institution been the subject, in the past two years, of regulatory enforcement for inadequate AML/CFT policies and procedures and/or breaches of AML/CFT? If yes, please provide further details: _____		
39.	Is your institution subject to regulatory/supervisory examination on a regular basis to assess the effectiveness of the institutions Anti-Money Laundering and Counter Terrorism Financing measures?		
40.	Does your institution confirm that it does not provide services to individual or entities which are residents of sanctioned countries (i.e. Iran, Syria, Sudan, North Korea, Cuba, Crimea etc.).		

5. Financial Institution Authorized Signatory:

To the best of my knowledge, I, the undersigned, confirm that the information provided in this document is current, accurate and representative of the anti-money laundering and anti-terrorist financing measures that are established in my bank/institution. I also, confirm that I am authorized to complete this document on behalf of my bank/institution.

Name:	Title:
Signature:	Date: