**C:\Users\khaligb\AppData\Local\Microsoft\Windows\INetCache\Content.Word\Unibank_Logo.png**

**Questionnaire**

1. **GENERAL INFORMATION**

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| **1.** | **Full name** |  |
| **2.** | **Legal form** |  |
| **3.** | **Registration number** |  |
| **4.** | **Registration date** |  |
| **5.** | **Type of license** |  |
| **6.** | **Number of license** |  |
| **7.** | **Date of issue of the license** |  |
| **8.** | **TIN** |  |
| **9.** | **The actual address** |  |
| **10.** | **Legal address** |  |
| **11.** | **Authorized capital** |  |
| **12.** | **BIC** |  |
| **13.** | **SWIFT** |  |
| **14.** | **Phone** |  |
| **15.** | **Email address** |  |
| **16.** | **Branches (name, address)** |  |
| **17.** | **Number of employees** |  |

1. **MANAGEMENT AND STRUCTURE**

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| **2.1** | **Provide list of members of boards of directors (add further rows if necessary).** |

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| --- | --- | --- | --- | --- |
| **Full name** | **Date of birth** | **Citizenship** | **Position** | **Political figure**  **(Yes/No)** |
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| **2.2** | **Provide list of members of supervisory board (add further rows if necessary).** |

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| **Full name** | **Date of birth** | **Citizenship** | **Position** | **Political figure**  **(Yes/No)** |
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| **2.3** | **Provide list the names of shareholders more than 10% (add further rows if necessary).** |

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| --- | --- | --- | --- | --- |
| **Full name** | **Date of birth** | **Citizenship** | **Share (%)** | **Political figure**  **(Yes/No)** |
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| **2.4** | **Have there been any significant changes in ownership over the last five years. If yes, please provide details.** |
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1. **PURPOSE OF COOPERATION**

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| **3.1** | **Provide information on the purpose of cooperation with Unibank OJSC.** |
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1. **LEGISLATION**

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| **4.1** | **Has your country of registration established laws designed to combat money laundering and terrorist financing** | **Yes  No** |
| **4.2** | **Provide regularity authority on anti-money laundering in your country** |  |
| **4.3** | **Is your country a Financial Action Task Force (FATF) member?** | **Yes  No** |
| **4.4** | **Does your bank comply with Financial Action Task Force (FATF) recommendations?** | **Yes  No** |

1. **AML CONTROL**

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| **5.1** | **Does your bank 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 of the bank?** | **Yes  No** |
| **5.1.1** | **If yes, please provide full name, position, phone, e-mail address.** |  |
| **5.2** | **To whom does the Compliance Officer report directly?** |  |
| **5.3** | **Does your bank have a screening process to search your client database against lists?** | **Yes  No** |
| **5.3.1** | **If yes, please provide the lists.** |  |
| **5.4** | **Is your AML software automated?** | **Yes  No** |
| **5.4.1** | **If yes, provide the name of software.** |  |
| **5.5** | **Choose type of screening software.** | **Automated**  **Manual** |
| **5.6** | **Does your bank follow Wolfsberg principles?** | **Yes  No** |
| **5.6.1** | **If yes, please provide Wolfsberg questionnaire singed by your bank in last 3 months.** |  |
| **5.7** | **Does your bank provide AML trainings?** | **Yes  No** |
| **5.7.1** | **If yes, provide the frequency of the trainings.** |  |
| **5.8** | **Does your procedures require an independent audit of AML?** | **Yes  No** |
| **5.8.1** | **If yes, provide name of audit company/department.** |  |
| **5.9** | **Does your bank has “USA patriot Act”?** | **Yes  No** |
| **5.10** | **Does your bank have approved policies and procedures to prevent money laundering?** | **Yes  No** |
| **5.11** | **Does your bank’s AML policy apply to all foreign branches and subsidiaries?** | **Yes  No** |
| **5.12** | **Does your bank have policy prohibiting the opening of anonymous accounts?** | **Yes  No** |
| **5.13** | **Does your bank provide “payable-through accounts” service?** | **Yes  No** |
| **5.14** | **Does your bank have policies and procedures against establishing business relationships with shell banks/companies?** | **Yes  No** |
| **5.15** | **Does your bank update customer information regularly** | **Yes  No** |
| **5.15.1** | **If yes, provide the frequency.** |  |
| **5.16** | **Does your bank apply enhanced due-diligence (EDD) to high-risk customers?** | **Yes  No** |
| **5.17** | **Does your bank archive customer and transaction data/documents?** | **Yes  No** |
| **5.17.1** | **If yes, provide the retention period.** |  |
| **5.18** | **Has your bank been subject to AML sanctions for the last 5 years?** | **Yes  No** |

1. **FATCA STATUSU**

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| **6.1** | **Does your bank have Global Intermediary Identification Number (GIIN)?** | **Yes  No** |
| **6.1.1** | **If yes, provide GIIN.** |  |
| **6.2** | **Provide the date of registration on the IRS portal of your bank.** |  |
| **6.3** | **Provide FATCA status of your bank.** |  |
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**PLACE FOR ADDITIONAL INFORMATION**

**(indicate the question to which the information relates.)**

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**AUTHORIZED SIGNATURE**

|  |  |
| --- | --- |
| **Full name** |  |
| **Position** |  |
| **E-mail address** |  |
| **Signature** |  |
| **Date** |  |

**Seal:**