MAYFAIR & AYERS FINANCIAL GROUP LIMITED

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

客戶名稱 A/C Name: _____ 帳戶號碼 A/C No.: _____

請選答(i)、(ii)或(iii)其中一項 PLEASE ANSWER EITHER PART (i), (ii) OR (iii).

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

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)	☐ 是 Yes ☐ 否 No
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)	☐ 是 Yes ☐ 否 No
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?	☐ 是 Yes ☐ 否 No

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

A.	閣下居住的國家是否財務行動特別組織的成員或其隸屬? Is the country that you located is a member of the Financial Action Task Force ("FATF") or its affiliates?	☐ 是 Yes ☐ 否 No
B.	如上題 (A) 的答案選擇"否"，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? If the answer to (A) is NO, are you located in a country with established laws/regulations designed to prevent money laundering?	☐ 是 Yes ☐ 否 No ☐ 不適用 N/A
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?	☐ 是 Yes ☐ 否 No ☐ 不適用 N/A
D.	閣下是否就反洗黑錢條例或反恐怖分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.	☐ 是 Yes ☐ 否 No

(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.

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?	☐ 是 Yes ☐ 否 No
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?	☐ 是 Yes ☐ 否 No
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?	☐ 是 Yes ☐ 否 No

(iv)	**平均交易金額（以港幣計）** **Average Size of Trades (HK$)**	❒ 港幣 HK$10,000 ❒ 港幣 HK$10,000 -港幣 HK$50,000 ❒ 港幣 HK$50,000 -港幣 HK$1,000,000 ❒ 港幣 HK$1,000,000 或以上 or above
(v)	**資金來源** **Source of Funds**	*(如有需要，可勾選多於一項)(tick more than one box, if appropriate)* ❒ 薪金 / 佣金 Payroll / Commission ❒ 售出物業 Sales of Property ❒ 積蓄 Savings ❒ 個人業務 Individual Business ❒ 投資收益 Investment Return ❒ 其他，請註明 Others, please specify_____

[在此鍵入]

(v) 資金來源 Source of Funds	資金來源方式 Means of Source of Funds	*(如有需要，可勾選多於一項)* *(tick more than one box, if appropriate)* ❒ 現金 Cash ❒ 轉帳 Transfer ❒ 支票 Cheque ❒ 匯票 Demand Draft ❒ 電匯 Telegraphic Transfer ❒ 其他，請註明 Others, please specify _____
	資金來源地 Origins of Source of Funds	(如有需要，可勾選多於一項) (tick more than one box, if appropriate) ❒ 香港 HK ❒ 中國 China ❒ 美國 US ❒ 台灣 Taiwan ❒ 其他，請註明 Others, please specify _____
(vi) 預期帳戶每月交易量 Anticipated Monthly Volume	買入交易 Buy Transaction	交易量(宗) No. of counts: ❒ ≤ 26 ❒ 27 – 78 ❒ 79 – 100 ❒ 101– 200 ❒ > 200 預期涉及總金額 Anticipated Total Amount_____
	賣出交易 Sell Transaction	交易量(宗) No. of counts: ❒ ≤ 26 ❒ 27 – 78 ❒ 79 – 100 ❒ 101– 200 ❒ > 200 預期涉及總金額 Anticipated Total Amount_____

Client Signature 客戶簽署

Client Name 客戶姓名 _____

Date 日期 _____

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Client AML Risk Classification **Low / Medium / High***

Reasons for classification: (Only for Medium / High)

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Approved by
Responsible Officer / *Two Directors

Signature
Name
CE No.

日期 (日/月/年) Date (dd/mm/yy)

Reviewed by
Compliance Officer

Signature
Name

日期 (日/月/年) Date (dd/mm/yy)

* For high risk client:
1. If the answer to any of the questions (i), (ii) and (iii) is "No", the result of the risk assessment would be "High".
2. The Account Opening Form to be signed by at least two of directors and Responsible Officers
3. The Account to be reviewed semi-yearly.