|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **AML QUESTIONNAIRE FOR SMEs** | | | | |
| **Identification** | | | | |
| **Legal Name:** |  |  |  |  |
| **Legal Form:** |  |  |  |  |
| **Registered Address:** |  |  |  |  |
| **Principal Place of Business:** |  |  |  |  |
| **P.O. Box:** |  |  |  |  |
| **Telephone:** |  |  |  |  |
| **Email:** |  |  |  |  |
| **Swift Address:** |  |  |  |  |
| **Website:** |  |  |  |  |
| **Contact Person:** |  |  |  |  |
| **Stock Exchange:** |  |  |  |  |
| **Legal Entity Identifier:** |  |  |  |  |
| **Operating Law:** |  |  |  |  |
| **Africa Entity Identifier:** |  |  |  |  |
| **External Auditors:** | | | | |
| **Name** | **Telephone** | **Website** | **Address** | **Email** |
|  |  |  |  |  |
| **Supporting Documents** |  |  |  |  |
| **Business License:** |  |  |  |  |
| Date of Issuance: |  |  |  |  |
| License Number: |  |  |  |  |
| Document: (attachment) |  |  |  |  |
| **Company Registration:** |  |  |  |  |
| Company Registration ID/Number: |  |  |  |  |
| Date of Issuance: |  |  |  |  |
| Document: (attachment) |  |  |  |  |
| **Object of Establishment:** |  |  |  |  |
| Object of Establishment Type: |  |  |  |  |
| Document: (attachment) |  |  |  |  |
| **Tax Certificate:** |  |  |  |  |
| Document: (attachment) |  |  |  |  |
| **Independent verification Sources:** |  |  |  |  |
| [**Ownership and Management**](http://www.mansaafrica.com/wps/myportal/AFRIXEM_Portal/Customer%20Due%20Deligence/Contributor%20Profile/!ut/p/z1/04_Sj9CPykssy0xPLMnMz0vMAfIjo8zifSx9DQyN_Q383IP9TQ0c_dxMvXy9nQxNLAz0w1EVGIQZuhk4mgeEGgYFGBoZBBvoRxGj3wAHcCRSPx4FUfiND9ePQrXCwNMT6AO_QA8fM2c3QwMnEwwFmF4kZElBbmhohEGmJwBL6rrx/dz/d5/L2dBISEvZ0FBIS9nQSEh/?cId=121#collapse2) | | | | |
| **Shareholder Structure:** | | | | |
| **Shareholder Name** | **Shares** | **Contact Mail** | **Nationality** |  |
|  |  |  |  |  |
| **Board of Directors:** | | | | |
| **Board Member Name** | **Nationality** | **Additional Information** |  |  |
|  |  |  |  |  |
| **Management Structure:** | | | | |
| **Name** | **Role** | **Contact** | **Nationality** |  |
|  |  |  |  |  |
| **Supporting Documents** |  |  |  |  |
| Declaration of Ultimate Beneficial Owners: (attachment) |  |  |  |  |
| Executive Management Profiles: (attachment) |  |  |  |  |
| Profiles of Directors: (attachment) |  |  |  |  |
| Shareholder List: (attachment) |  |  |  |  |
| Independent verification Sources: |  |  |  |  |
| [**Business Information**](http://www.mansaafrica.com/wps/myportal/AFRIXEM_Portal/Customer%20Due%20Deligence/Contributor%20Profile/!ut/p/z1/04_Sj9CPykssy0xPLMnMz0vMAfIjo8zifSx9DQyN_Q383IP9TQ0c_dxMvXy9nQxNLAz0w1EVGIQZuhk4mgeEGgYFGBoZBBvoRxGj3wAHcCRSPx4FUfiND9ePQrXCwNMT6AO_QA8fM2c3QwMnEwwFmF4kZElBbmhohEGmJwBL6rrx/dz/d5/L2dBISEvZ0FBIS9nQSEh/?cId=121#collapse3) | | | | |
| **Legal Advisors:** | | | | |
| **Name** | **Address** | **Telephone** | **Email** | **Website** |
|  | | | | |
|  |  |  |  |  |
| **Industry** | | | | |
| **ISIC Industry** | **ISIC Sub-Division** | **ISIC Activity-Group** | **ISIC Activity Name** | **Product Group Name** |
|  |  |  |  |  |
|  |  |  |  |  |
| Operating Countries: |  |  |  |  |
| Number of Local Branches: |  |  |  |  |
| Number of Overseas Branches: |  |  |  |  |
| Bank Name: |  |  |  |  |
| **Contributor Affiliates:** | | | | |
| **Business Name** | **Business Number** | **Telephone** | **Email** | **Website** |
|  |  |  |  |  |
| **Independent verification Sources** |  |  |  |  |
|  |  |  |  |  |
| **Compliance Information** | | | | |
| **AML Questionnaire** | | | | |
| **#** | **Question** | **Yes/No** | **Comment** | **Supporting Documents** |
| 1 | The business that the Company is involved in does not include any proceeds of crime/money laundering. |  |  |  |
| 2 | All information provided above is true and represents |  |  |  |
| 3 | No legal action been brought against the company before the regulatory organ regarding violations of anti-money laundering and/or terrorist financing laws and regulations (there is any. Please provide details of name of case and court references and summary of the outcome of court proceedings) |  |  |  |
| 4 | Is compliant with anti-bribery laws and regulations of the operating country(ies) |  |  |  |
| 5 | The Company conducts background checks on counterparties and does not deal with parties involved in money laundering, financing of terrorism and other financial crimes. |  |  |  |
| 6 | The companies performs due diligence on all counterparties i.e. customers, contractors, employees, and other parties. |  |  |  |
| 7 | The company is not a shell company (i.e. has a physical presence in the country(ies) of operation) |  |  |  |
| 8 | The Company is not involved in Financing of Terrorism or other financial crimes. |  |  |  |
| **Signed Questionnaire** | | | | |
| **Signed Questionnaire: (attachment)** |  |  |  |  |
| **Authorized Personnel** |  |  |  |  |
| **Name:** |  |  |  |  |
| **Phone:** |  |  |  |  |
| **Email:** |  |  |  |  |
| **Supporting Documents** |  |  |  |  |
| AML Policy: (attachment) |  |  |  |  |
| Anti-Bribery and Anti-Corruption Policy: (attachment) |  |  |  |  |
| Environmental Compliance Certificate (attachment) |  |  |  |  |
| **Independent verification Sources:** |  |  |  |  |
| [**Financial Information**](http://www.mansaafrica.com/wps/myportal/AFRIXEM_Portal/Customer%20Due%20Deligence/Contributor%20Profile/!ut/p/z1/04_Sj9CPykssy0xPLMnMz0vMAfIjo8zifSx9DQyN_Q383IP9TQ0c_dxMvXy9nQxNLAz0w1EVGIQZuhk4mgeEGgYFGBoZBBvoRxGj3wAHcCRSPx4FUfiND9ePQrXCwNMT6AO_QA8fM2c3QwMnEwwFmF4kZElBbmhohEGmJwBL6rrx/dz/d5/L2dBISEvZ0FBIS9nQSEh/?cId=121#collapse7) | | | | |
| **Supporting Documents** |  |  |  |  |
| **Annual Reports:** |  |  |  |  |
| End of Financial Year: |  |  |  |  |
| Start of Financial Year: |  |  |  |  |
| Document: (attachment) |  |  |  |  |
| **Credit Info and Rating:** |  |  |  |  |
| Rating Agency: |  |  |  |  |
| Rating: |  |  |  |  |
| Document: (attachment) |  |  |  |  |
| Independent verification Sources: |  |  |  |  |
|  |  |  |  |  |
| **Other Information** | | | | |
| **Associations & Memberships:** |  |  |  |  |