

Rui Da International Finance Holding Limited 瑞达国际金融控股有限公司

Rui Da International Securities (Hong Kong) Limited 瑞达国际证券(香港)有限公司

防止洗黑钱及防止恐怖分子筹资活动问卷

ANTI-MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE

客户名称 Client Name: _____

客户帐户号码 Client Account Number: _____

请在适当的栏上加勾号 Please tick the appropriate column

1	阁下是否与政界人士有联系? (政界人士: 指目前或以往曾经担任重要公职的人士, 如国家或政府的首长, 资深政客, 政府高级官员和重要政党官员等) Are you 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)	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
2	阁下的业务性质是否特别容易蒙受较高的洗黑钱风险? (举例: 如会接触大量现金往来, 找换业或博彩业) Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
3	阁下的金钱来源是否源于或涉及非法所得? Does your money might be arising from or related to proceeds of crime?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
4	阁下居住的国家是否财务行动特别组织的成员? (财务行动特别组织成员包括: 阿根廷、澳大利亚、奥地利、比利时、巴西、加拿大、中国、丹麦、芬兰、法国、德国、希腊、香港、冰岛、爱尔兰、意大利、日本、卢森堡、墨西哥、荷兰、新西兰、挪威、葡萄牙、俄罗斯联邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英国、美国、欧洲委员会及海湾合作理事会) 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, Denmark, Finland, France, Germany, Greece, Hong Kong, China, 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)	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

5	阁下居住的国家是否已有现行的法律或条例立以制止洗黑钱的活动? Are you located in a country with established laws/regulations designed to prevent money laundering?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
6	如阁下在(5)题的答案选择”是”, 你是否受到现行的法律或条例所管制? If the answer to (b) is YES, are you subject to such laws/regulations?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
7	阁下是否就反洗黑钱条例或反恐怖分子筹资活动条例维持着“无罪纪录”? 如否, 请另外提交一份详细的资料。 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.	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

客户签名 Client Signature: _____ 日期 Date: _____

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风险评估 Risk Assessment: 高 HIGH / 中性 NEUTRAL

填写 Completed By: _____ 日期 Date : _____

批核 Approved By: _____ 日期 Date : _____

(如风险评估属”高”, 须完成进阶尽职审查才可予以批核开户)

(If Risk Assessment is “HIGH”, sign off after performance of enhanced due diligence procedures)