



# 華德國際證券有限公司

Wonderland International Securities Limited

## ANTI-MONEY LAUNDERING AND COUNTER-TERRORIST FINANCING QUESTIONNAIRE

### 防止洗黑錢及防止恐怖活動問卷

<b>ACCOUNT INFORMATION 賬戶資料</b>	
Account No. 賬戶號碼：	Account Name 賬戶名稱：

<b>Section 1. Client Information</b> <b>個人客戶/ 機構客戶</b>	
1. Occupation and Position – <b>PERSONAL</b> 工作的行業及職位	2. Business Nature – <b>ENTITY</b> 業務性質
3. Nature of Entity (eg. Private Company/ Public Company etc.) – <b>ENTITY</b> 公司性質(即私人/公眾公司/其他)	4. Nationality/ Country of incorporation 國籍/公司註冊成立地點
5. Source of income/ fund (eg. Rent/ Business profit/ Div/ ROI etc.) 收入/資產來源 (例如: 租金/ 公司利潤/ 股息/ 投資回報/其他)	6. Income/ fund originated from which country 收入/資產來源地

<b>Section 2. Personal/ Entity Client</b> <b>個人客戶/ 機構客戶</b>		Yes 是	No 否
7.	Are you physically present for account opening? (if “yes”, then move on to the question 9; If “No”, please answer question 8) 客戶是否親自現身進行開戶? (如答案為“是”，請跳至第 9 題作答；如答案為“否”，請作答第 8 題)		
8.	Are you using the online account opening platform for account opening? 客戶是否使用網上開戶平臺進行開戶?		
9.	Are you <b>non-politically exposed person</b> ? 客戶是否 <b>非政治人物</b> ?		
10.	Are you <b>NOT</b> directly connected with any politically exposed person? 客戶是否 <b>沒有</b> 與政治人物有直接的關係?		
11.	Are your country established laws designed to prevent money laundry and counter – financing of terrorism? 客戶所在處的國家是否制定就防止洗黑錢及防止恐怖活動的相關法律?		
12.	Are you/ your institution maintained “no conviction record”? 客戶是否維持“無犯罪紀錄”?		
13.	Are you/ your institution do <b>NOT</b> subject to any investigation, indictment or civil enforcement action related to bribery, anti-money laundry or counter – financing of terrorism legislation? If “ <b>NO</b> ”, please provide details on a separate sheet. 客戶是否就貪污，防止洗黑錢條例或反恐怖份子籌資活動條例的相關活動 <b>沒有</b> 曾接受調查，被民事或刑事起訴？如“否”，請另外提交份詳細的資料。		
14.	Are you/ your institution do <b>NOT</b> offend the law or the law that are relevant to anti-money laundering or counter - financing of terrorism legislation? If “ <b>NO</b> ”, please provide details on a separate sheet. 客戶是否 <b>沒有</b> 曾觸犯反洗黑錢條例或反恐怖份子籌資活動條例？如“否”，請另外提交份詳細的資料。		
15.	Is client originated in FATF jurisdiction or non-FATF jurisdiction and that jurisdiction apply the FATF’s Recommendations? 客戶是否來自 FATF 司法管轄區或非 FATF 司法管轄區而該司法管轄區應用 FATF 的建議?		



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Section 3. <u>ONLY for FI, Investment Vehicle and Regulated Person (e.g. fund manager, stockbrokers, etc.)</u> <u>只適用於金融機構, 投資實體, 受監管人士(如基金經理, 股票經紀等)</u>		Yes 是	No 否
16.	Have your institution (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering? 客戶(包括外國的分行及子公司) 是否制定書面政策, 並執行內部程式和管理, 以打擊洗黑錢的行動?		
17.	Have your institution established reporting policy for suspicious activities and transactions to the appropriate authorities? 客戶是否就舉報可疑的活動和交易確立程式向適當的監控組織報告?		
18.	Have 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 specified period of time? 客戶是否制定政策與程式, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於指定時限內予以保留?		

\* Please put "✓" on the appropriate box 請於適當之方格內加上「✓」號

Signed by Client 客戶簽署:

Name 姓名:

Date 日期:

Signed by Witness 見證人簽署:

Name 姓名:

Date 日期:

Note 注意事項

- The Risk Assessment is "Medium" if client is using online account opening platform.  
如客戶使用網上開戶平臺進行開戶, 其風險評估屬 "中"。
- The Risk Assessment is "**High**" if client answer any question from 7 and 8 as "**No**".  
如客戶在問題 7 和 8 的答案為 "**否**", 其風險評估屬 "**高**"。
- The Risk Assessment is "**High**" if client answer any question from 9-18 as "**No**".  
如客戶在問題 9-18 上任何一條的答案為 "**否**", 其風險評估屬 "**高**"。

~ For Office Use Only 只供內部填寫 ~

Risk Assessment Level:		
High ( )	Medium ( )	Low ( )
* Please put "✓" on the appropriate box	Signed by Checker	