



ANTI-MONEY LAUNDERING & COMBATING FINANCING OF TERRORISM QUESTIONNAIRE FOR CORRESPONDENT RELATIONSHIP

A. BASIC INFORMATION

1. Name of the Institution: The City Bank Limited
2. Registered Address: 136 Gulshan Avenue, Gulshan-2, Dhaka-1212, Bangladesh.
3. Website Address: www.thecitybank.com
4. Principal Business Activities: Corporate Banking, SME Banking, Retail Banking, Capital Market Services, Islamic Banking, FX & Money Market Trading & Trade Finance
5. Regulatory Authority: Bangladesh Bank (Central Bank of Bangladesh)
6. Operational Status:
 - Does your Bank maintain a physical presence in the licensing country? Yes No

B. OWNERSHIP / MANAGEMENT

7. Is your institution listed in any stock exchange? Yes No
If so, which stock exchange?
Dhaka Stock Exchange (DSE) & Chittagong Stock Exchange (CSE)
8. If "No" to Q7, please provide a list of the major shareholders holding more than 10% shares in your institution.

C. ANTI-MONEY LAUNDERING AND TERRORIST FINANCING CONTROLS

If you answer "no" to any question, additional information can be supplied at the end of the questionnaire.

I. General AML & CFT Policies, Practices and Procedures:

9. Does your institution have in place policies and procedures approved by your institution's board or senior management to prevent money laundering and combating terrorist financing? Yes No
10. Does your institution have a legal and regulatory compliance program that includes a designated officer that is responsible for coordinating and overseeing the AML/CFT framework? Yes No
11. Has your institution developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions? Yes No
12. Does your institution have a policy prohibiting accounts/relationships with shell banks? (A shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.) Yes No
13. Does your institution permit the opening of anonymous or numbered accounts by customers? Yes No
14. Does your institution have policies to reasonably ensure that they will not conduct transactions with or on behalf of shell banks through any of its accounts or products? Yes No
15. Does your institution have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates? Yes No
16. Does your institution have policies and procedures that require keeping all the records related to customer identification and Yes No



their transactions?

If "Yes", for how long? 5(five) years after closing of relationship

II. Risk Assessment

- 17. Does your institution have a risk-based assessment of its customer base and their transactions? Yes No
- 18. Does your institution determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that have reason to pose a heightened risk of illicit activities at or through the FI? Yes No

III. Know Your Customer, Due Diligence and Enhanced Due Diligence

- 19. Has your institution implemented processes for the identification of those customers on whose behalf it maintains or operates accounts or conducts transactions? Yes No
- 20. Does your institution have a requirement to collect information regarding its customers' business activities? Yes No
- 21. Does your institution have a process to review and, where appropriate, update customer information relating to high risk client information? Yes No
- 22. Does your institution have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information? Yes No
- 23. Does your institution complete a risk-based assessment to understand the normal and expected transactions of its customers? Yes No

IV. Reportable Transactions for Prevention and Detection of ML/TF

- 24. Does your institution have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities? Yes No
- 25. Where cash transaction reporting is mandatory, does your institution have procedures to identify transactions structured to avoid such obligations? Yes No
- 26. Does your institution screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities or under the UN security Council Resolution? Yes No
- 27. Does your institution have policies to reasonably ensure that it only operates with correspondent banks that possess licenses to operate in their countries of origin? Yes No

V. Transaction Monitoring

- 28. Does your institution have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments such as travelers' checks, money orders, etc? Yes No

VI. AML Training

- 29. Does your institution provide AML & CFT training to relevant employees of your organization? Yes No
- 30. Does your institution communicate new AML & CFT related laws or changes to existing AML/CFT related policies or practices to relevant employees? Yes No
- 31. Does your institution provide AML & CFT training to relevant Yes No

third parties if they are employed to carry out some of the functions of your organization?

Space for additional information:

(Please indicate which question the information is referring to.)

D. GENERAL

32. Does the responses provided in this Declaration apply to the following entities:

- Head Office and all domestic branches Yes No
- Overseas branches Yes No
- Domestic subsidiaries Yes No
- Overseas subsidiaries Yes No

If the response to any of the above is "No", please provide a list of the branches and/or subsidiaries that are excluded, including the name of the institution, location and contact details.

Name of the institution	Location and Contact details
City Brokerage Ltd	City Centre, Unit#12A & 12B, (12th floor), Level-13 90/1, Motijheel C/A, Dhaka-1000 Phone Direct: +88 02 9567018 Fax: +88 02 47119266 Mail: info@citybrokerageltd.com
City Bank Capital Resources Ltd	City Centre, 13th Floor, Level-14, Unit ID: 13D, 90/1 Motiheel C/A, Dhaka-1000, Bangladesh Phone +880-2-55110947 Fax: +880-2-55110945 Mail: info@cbcr.com
CBL Money Transfer Sdn Bhd	Ground Floor, Loke Yew Building No. 2, Leboh Pasar Besar, 50050 Kuala Lumpur, Malaysia Phone: +603 2693 3777 Fax: +603 2693 5333 E-mail: info@cblmoneytransfer.com
City Hong Kong Limited	9/F, Room 904 & 906, Austin Tower 22-26 Austin Avenue, Tsim Sha Tsui Kowloon, Hong Kong. Tel: + 852 2886 8710. Fax: + 852 2886 8719. Direct Tel: + 852 2886 8718. Email: mmhossain@cityhongkong.com.hk

Note: All the above subsidiaries have their own AML/CTF policy and we do not have any overseas branch

I, the undersigned, confirm to the best of my knowledge that the information provided in this questionnaire is current, accurate and representative of the anti-money laundering and anti-terrorist financing policies and procedures that are established in my institution.

I also confirm that I am authorized to complete this questionnaire on behalf of my institution.

Signature:



Name: Mahia Juned

Designation: DMD, Chief Operating Officer (COO) & Chief Anti Money Laundering Compliance Officer (CAMLCO)

Date: 26th April 2022

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