

東皓證券有限公司 SUNFUND SECURITIES LIMITED

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Account No 帳戶號碼：_____

Date 日期：_____

AE Code：_____

Anti-Money Laundering Questionnaire (Corporate Account) 打擊洗錢調查問卷 (公司帳戶)

For compliance with our policy and the requirements of the Securities and Futures Commission in relation to Anti-Money Laundering and Know Your Client, it is necessary for us to obtain the updated information of your institution. We would therefore be grateful if your institution would send the completed AML Questionnaire via email to info@sunfund.com.hk or by fax to (852) 2292 5555 or by mail 18th Floor, Hip Shing Hong Centre, No. 55 Des Voeux Road Central,, Attention: Compliance Department.

為遵守我們的政策和證券及期貨事務監察委員會有關打擊洗錢及認識你的客戶的規定，我們有需要取得貴機構的最新資料。因此，如果貴機構將通過電子郵件將已填妥的打擊洗錢調查問卷發送至 info@sunfund.com.hk 或傳真至 (852) 2292 5555 或郵寄至香港中環德輔道中 55 號協成行中心 18 樓合規部收，我們將不勝感激。

Financial Institution ("FI") Name :

貴機構 (下稱 "貴機構") 名稱：

Address :

地址：

A. Your Institution's Information 貴機構的資料

1. Full legal name :

法定名稱：

2. Full address of registered office :

註冊地址：

3. Address of principal place of business (if different from above) :

主營業務地址 (如與上述不同)：

4. Name and Place of Stock Exchange (if listed) :

交易所名稱及地點 (如已上市)：

5. Principal business activities (products and services) :

主要業務 (產品和服務)：

6. Purpose, reason and business rationale for opening accounts or maintaining correspondent relationship with us :

開立帳戶或與我們保持通訊關係的目的，原因和商業理由：

7. Anticipated level of activities (amount/frequency/products to be purchased) :

預期進行的活動的程度及性質 (金額/頻率/將會購買的產品)：

8. Source of fund :

資金來源：

B. Regulatory Information 監管機構的資料

<p>1. Name of the regulatory authority in your country : 您所在國家/地區的監管機構名稱 :</p>	
<p>2. Name of your anti-money laundering and/or anti-terrorist financing (“AML”) regulatory authority and legislative authority your Institution is subjected to : 您受約束於打擊洗錢和/或打擊恐怖分子資金籌集 (“打擊洗錢”) 監管機構的名稱和貴機構的立法機關 :</p>	

C. Ownership and Management Information 擁有人和管理層的資料

<p>1. Name of shareholder(s) who owns or controls 10% or more of the shares in your institution (Please indicate percentage of ownership for each shareholder/owner or provide separate sheet/chart of it.) If no shareholder has the shareholding or control 10% or more, name of the top 10 largest shareholders. 擁有或控制貴機構 10%或以上股權的股東名稱(請註明每個股東/擁有者的股權百分比, 或列於另外提供的紙/圖表上。) 如果沒有股東的股權或控制權達 10 %或以上, 請列出前 10 名最大股東的名稱。</p>	<p>Name 名稱</p>	<p>Ownership 股權 (%)</p>
<p>2. Current list of your Institution’s Board of Directors and senior management or provide separate sheet/chart on it. (please state the names as appeared on the identification documents such as identity cards/passports) 貴機構董事會和高級管理層現時的名單, 或列於另外提供的紙/圖表上。(請註明身份證/護照等身份證明文件上列出的姓名)</p>	<p>Name 名稱</p>	<p>Position 職位</p>

If you answer "NO" to any question, an explanation must be supplied at the end of the questionnaire.

如果您對任何問題回答“否”，則必須在此調查問卷結尾處提供解釋。

D. General AML Policies, Practices and Procedures 一般打擊洗錢的政策，做法及程序	YES 是	NO 否
1. Is the AML compliance program approved by either the FI's board or a committee formed by senior management? 打擊洗錢的合規計劃是否由貴機構的董事會或由管理層組成的委員會？	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the FI have a legal and regulatory compliance program that includes a designated officer that is responsible for coordinating and overseeing the AML framework? 貴機構是否具有法律及合法規計劃，包括指定一位負責協調和監督打擊洗錢框架的負責人員？	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the FI developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions? 貴機構是否制定了記錄其預防，偵測和報告可疑交易過程的書面政策？	<input type="checkbox"/>	<input type="checkbox"/>
4. In addition to inspections by the government supervisors/ regulators, does the FI have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis? 除了政府主管/監管機構的檢查外，貴機構是否有內部審計職能或其他獨立第三方定期進行評估打擊洗錢政策和做法？	<input type="checkbox"/>	<input type="checkbox"/>
5. Does the FI have policies to reasonably ensure that they will not open accounts for/establish business relationship with shell banks? (A shell bank is a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.) 貴機構是否具有合理的政策來確保其不會為空殼銀行開設帳戶/ 建立業務關係？(空殼銀行是在其管轄區域裏沒有實體存在及與受監管的金融集團無關的一所銀行)。	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the FI 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? 貴機構是否具有合理的政策來確保不會讓其任何賬戶或產品與或代表空殼銀行進行交易？	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the FI have polices covering relationships with Politically Exposed Persons (PEPs), their families and close associates? 貴機構是否具有政策涵蓋了政治敏感人物（PEP）、他們的家人和緊密聯繫人？	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the FI have record keeping procedures that comply with applicable law? 貴機構會否制定了符合有關法例的備存紀錄程序？	<input type="checkbox"/>	<input type="checkbox"/>
9. Are the FI's AML policies and practices being applied to all branches and subsidiaries of the FI both in the home country and in locations outside of that jurisdiction? 貴機構的打擊洗錢政策和做法是否適用於貴機構在本國及非本國管轄區的所有分支機構及子公司？	<input type="checkbox"/>	<input type="checkbox"/>

E. Risk Assessment 風險評估	YES 是	NO 否
10. Does the FI have a risk-based assessment of its client base and their transactions? 貴機構會否對其客戶群和其交易進行了風險性的評估？	<input type="checkbox"/>	<input type="checkbox"/>
11. Has the FI determined the appropriate level of enhanced due diligence necessary for those categories of clients and transactions that the FI has reason to believe pose a heightened risk of illicit activities at or through the FI? 就那些貴機構有理由相信其在貴機構或通過貴機構發生的非法活動的風險為高類別的客戶和其交易，貴機構是否已釐定了所需的增強盡職調查的適當水平？	<input type="checkbox"/>	<input type="checkbox"/>

F. Know Your Client, Due Diligence and Enhanced Due Diligence 認識您的客戶、盡職調查和增強盡職調查	YES 是	NO 否
12.Does the FI implement processes for the identification of those clients on whose behalf it maintains or operates accounts or conducts transactions? 貴機構會否實施了流程去識別那些貴機構為其持有或經營帳戶或進行交易的客戶？	<input type="checkbox"/>	<input type="checkbox"/>
13.Does the FI have a requirement and procedure to collect information regarding the nature of business activities, source of wealth and source of funds of its clients? 貴機構會否有要求和程序去收集其客戶的業務性質、財富來源和資金來源的資料？	<input type="checkbox"/>	<input type="checkbox"/>
14.Does the FI assess its FI clients' AML policies and practices? 貴機構會否評估其機構客戶的打擊洗錢政策和做法？	<input type="checkbox"/>	<input type="checkbox"/>
15.Does the FI have on-going processes to review and, where appropriate, update client information? 貴機構是否有持續的流程去審查並在適當時更新客戶的資料？	<input type="checkbox"/>	<input type="checkbox"/>
16.Does the FI have procedures to establish a record for each new client noting their respective identification documents and "Know Your Client" information? 貴機構是否有程序為每個新客戶建立存檔記錄，註明其各自的身份證明文件和“認識您的客戶”的資料？	<input type="checkbox"/>	<input type="checkbox"/>
17.Does the FI complete a risk-based assessment to understand the normal and expected transaction of its clients? 貴機構會否完成以了解其客戶的正常和預期交易的風險性評估？	<input type="checkbox"/>	<input type="checkbox"/>

G. Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds 申報交易、防止及偵測透過非法取得資金的交易	YES 是	NO 否
18.Does the FI have policies or practices for identifying and reporting transactions that are suspicious or required to be reported to the authorities? 就可疑或需要向當局申報的交易，貴機構是否有鑑別和申報的政策或做法？	<input type="checkbox"/>	<input type="checkbox"/>
19.Where cash transaction reporting is mandatory, does the FI have procedures to identify transactions structured to avoid such obligations? 就某些刻意作出調整以規避需呈報的大額現金交易，貴機構是否有程序以資識別？		
20.Does the FI screen clients and transactions against lists of persons, entities or countries issued by relevant authorities? 貴機構會否篩選有關當局公布名單上中的個人，實體或國家的客戶和其交易？	<input type="checkbox"/>	<input type="checkbox"/>
21.Does the FI have policies to reasonably ensure that it only operates with FI that possess licenses to operate in their jurisdiction of origin? 貴機構是否有政策合理地確保它只與在其原居地管轄範圍內持有營業執照的金融機構進行交易？	<input type="checkbox"/>	<input type="checkbox"/>

H. Transaction Monitoring 事務監控	YES 是	NO 否
22.Does the FI have a monitoring program for unusual and potentially suspicious activity? 貴機構是否有針對異常和有可疑的交易活動的監控程序？	<input type="checkbox"/>	<input type="checkbox"/>

I. AML Training 打擊洗錢培訓	YES 是	NO 否
<p>23.Does the FI provide AML training to relevant employees that includes:</p> <p>貴機構會否為相關員工提供打擊洗錢培訓，包括：</p> <ul style="list-style-type: none"> — Identification and reporting of transactions that must be reported to regulatory authorities 識別和申報必須向監管當局申報的交易 — Examples of different forms of money laundering involving FI's products and services 涉及金融機構的產品和服務的不同形式的洗錢示例 — Internal policies to prevent money laundering 防止洗錢的內部政策 	<input type="checkbox"/>	<input type="checkbox"/>
<p>24.Does the FI retain records of its training sessions including attendance records and relevant training materials used?</p> <p>貴機構會否保留其培訓課程的記錄，包括出席記錄和相關的培訓材料？</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>25.Does the FI communicate new AML related laws or changes to existing AML related policies or practices to relevant employees?</p> <p>貴機構會否將有關打擊洗錢而定的新法律或對現有打擊洗錢有關的政策或做法之更改傳達給相關員工？</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>26.Does the FI employ third parties to carry out some of the functions of the FI?</p> <p>貴機構會否聘用第三方完成貴機構某部分職能？</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>27.If the answer to question 26 is yes, does the FI provide AML training to relevant third parties that includes:</p> <p>如在第26條問題回答「是」，貴機構會否為相關第三方提供打擊洗錢培訓，包括：</p> <ul style="list-style-type: none"> — Identification and reporting of transactions that must be reported to regulatory authorities 識別和申報必須向監管當局申報的交易 — Examples of different forms of money laundering involving FI's products and services 涉及金融機構的產品和服務的不同形式的洗錢示例 — Internal policies to prevent money laundering 防止洗錢的內部政策 	<input type="checkbox"/>	<input type="checkbox"/>

Additional Information (please indicate which question information is referring to)

附加資料（請註明資料是與那一條問題有關）

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Name 姓名：

Title (Director / Responsible Officer / Compliance Officer / AMLO) 職銜（董事 / 負責人員 / 合規部人員 / 打擊洗錢部人員）：

Signature and Official Company Chop 簽名和公司印章：

Date 日期：