

# 中國北方證券集團有限公司 CNI SECURITIES GROUP LIMITED

防止洗黑錢及防止恐怖分子籌資活動問卷

## ANTI-MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE ( For Individual )

客戶名稱

Client Name : \_\_\_\_\_

客戶帳戶號碼

Client Account Number: \_\_\_\_\_

请在下面进行勾选

請在適當的欄上加勾號 Please tick the appropriate column

		是 Yes	否 No
1	您是否與政界人士有聯繫？（政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等） 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.)		
2	您的業務/職業/職位性質是否特別容易蒙受較高的洗黑錢風險？（舉例：如會接觸大量現金往來。找換業或博彩業） Is the nature of your business/profession/employment particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)		
3	您的金錢來源是否源於或涉及非法所得？ Is your money / funds sourced from or related to proceeds of crime?		

### 客戶聲明 Client's Declaration

本人/吾等 在此承諾不會在 貴公司開設或將開設的賬戶內進行任何洗黑錢或恐怖主義融資活動。

I/We hereby undertake **NOT** to carry out any money laundering or terrorist financing activities in any of our account(s) opened / to be opened with your company.

客戶簽名 Client Signature : \_\_\_\_\_ 日期 Date: \_\_\_\_\_

風險評估 Risk Assessment : 高 HIGH / 中性 NEUTRAL

（如風險評估屬“高”須完成進階盡職審查才可予以批核開戶）

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