



(INCORPORATED IN SWITZERLAND)

# Habib Bank AG Zurich

WEINBERGSTR. 59 P.O. BOX 225 8042 ZURICH (SWITZERLAND)

## Network Bank SWIFT RMA Due Diligence Questionnaire

Name of financial institution

Country of incorporation

Name & location of branch/subsidiary exchanging RMA

1. In which jurisdictions does your financial institution operate?

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2. Please provide a brief description of the shareholding structure of your institution. Please also identify, if any, the PEP shareholders.

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3. In terms of a breakdown by percentages, how do you characterize your customer base?

\_\_\_% Corporate Banking

\_\_\_% Wealth Management

\_\_\_% Retail Banking

\_\_\_% Wholesale Banking

\_\_\_% Other, please specify: \_\_\_\_\_

4. Does your financial institution screen its customer names against US (including OFAC), UN and EU sanction lists?

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5. Does your financial institution maintain any correspondent banking relationships with any other financial institution located in Myanmar, North Korea, Cuba, Syria, Sudan or Iran? If yes, can you please identify the respective financial institutions?

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6. Does your financial institution verify the identity of beneficial owners? If yes, up to what percentage?

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7. Does your financial institution open or maintain anonymous accounts?

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8. Is your compliance function subject to an independent audit? If yes, can you please confirm the frequency of your audits as well as your most recent audit date.

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9. Can you please provide the name and contact information of your MLRO or equivalent.

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10. Has your financial institution ever been subject to regulatory fines for AML violations or sanctions breaches? If yes, can you provide a brief explanation of the circumstance.

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*The duly completed questionnaire may be returned to us via email or completed via the SWIFT RMA system.*

Name

Date

Title

Signature

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