賬戶號碼

高鉦証券有限公司
AFG SECURITIES LIMITED
香港中環干諾道中61號福興大廈17樓B室
為證券及期貨事務監察委員會（"證監會"）註冊為持牌法團（CE編號 BIH335）
Room B, 17/F, Fortune House, 61 Connaught Road Central, Central, Hong Kong
Registered with Securities and Future Commission ("SFC") as a licensed corporation (CE No. BIH335)

Anti-Money Laundering and Counter-Terrorist Financing Risk Assessment Questionnaire (Individual Account)

打擊洗錢及恐怖份子資金籌集風險問卷 (個人戶口)

Name(s) of the applicant:
申請人姓名 :_____

ID Card No. / Passport No.
身分證號碼 / 護照號碼 :_____

Name of licensed representative
持牌代表姓名 :_____

Assessment Date
評估日期 :_____

Please choose the appropriate answer (To be completed by licensed representative)
請選擇適當答案 (由持牌代表填寫)

1. Is the applicant a Politically Exposed Person (PEP) or its associate (Please refer to the Appendix 1)?
   申請人是否政府人物或其關聯者 (請參閱附表1)?
   ☐ No 否 ☐ Yes 是，Please explain 請解釋 :_____

2. Is the applicant a terrorist or terrorist associate (if "yes", the applicant should not be accepted)
   申請人是否恐怖份子或其關聯者 (若"是"，此申請人並不能接受)?
   ☐ No 否 ☐ Yes 是，Please explain 請解釋 :_____

3. Does the applicant reside in any sanctioned countries or fall within any sanction list?
   申請人是否被列入受制裁人員名單或居住的國家是否屬於受制裁國家?
   ☐ No 否 ☐ Yes 是，Please explain 請解釋 :_____

4. Does the applicant reside outside a member of FATF (Financial Action Task Force) (Please refer to the Appendix 2)?
   申請人居住的國家是否不屬於打擊清洗黑錢財政行動特別組織的成員國 (請參閱附表2)?
   ☐ No 否 ☐ Yes 是，Please explain 請解釋 :_____

5. Is the applicant's employment associated with any cash intensive business (such as casinos, money changers, remittance agencies
   客戶的職業是否與現金密集的業務有關連 (例如賭場，貨幣兌換，匯款機構)?
   ☐ No 否 ☐ Yes 是，Please explain 請解釋 :_____

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6. Has the applicant ever had any account opening application rejected by other financial institutions?

   申請人是否曾於其他金融機構開立戶口時被拒絕?

   ☐ No 否　　☐ Yes 是，Please explain 請解釋　:_____

7. Has the applicant been involved in any money laundering proceedings?

   申請人是否曾牽涉於洗黑錢的訴訟?

   ☐ No 否　　☐ Yes 是，Please explain 請解釋　:_____

8. Does the applicant have no relative-relationships with the authorized persons if the applicant applied "Third Party authorization to operate his securities accounts?

   若申請人已申請"第三者交易指示授權"，被授權人是否與申請人沒有親戚關係?

   ☐ No 否　　☐ Yes 是，Please explain 請解釋　:_____

9. Other high risk factors noted as described below?

   其他高風險因素如下所述?

   _____

   _____

風險評估結果：

High Risk 高風險	IF there is any "Yes" in reply to Question 1 to Question 7 and/or there is any other high risk factor identified in Question 9, risk assessment will be "High". 如果以上問題 1 至問題 7 中有任何"是"的答案及/或問題 9 中有其他確定為高風險的因素，風險評估將為"高" For "High" Risk Assessment, enhanced customer due diligence procedure must be performed and recorded in separate form prior to approval by Senior Manager. 高風險客戶在高級管理層審批前，必須採取更嚴格的盡職審查措施及紀錄在另一份表格。
Normal Risk 中風險	If no one of the reply to Question 1 to Question 7 is "Yes" and there is no other high risk factor identified in Question 8 and 9, risk assessment will be "Normal" 如果以上問題 1 至問題 7 中都沒有任何"是"的答案及問題 8 及 9 中沒有其他確定為高風險的因素，此風險評估將為"中"
Low Risk 低風險	If no one of the reply to Question 1 to Question 8 is "Yes" and there is no other high risk factor identified in Question 9, risk assessment will be "Low" 如果以上問題 1 至問題 8 中都沒有任何"是"的答案及問題 9 中沒有其他確定為高風險的因素，此風險評估將為"低"
Risk Rating 風險級別	(High 高 / Normal 中 / Low 低) Risk

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Signed by licensed representative 持牌代表簽署	_____
Name of licensed representative 持牌代表姓名	_____
Date 日期	_____

For internal use only

Approval to be completed by Responsible Officer	
I agree to the above assessed result, and of applicable, the Enhanced Due Diligence should be done for high risk applicants and the account opening of high risk applicants should be approval by Senior Management.	
Signed by Responsible Officer	_____
Name of Responsible Officer	_____
Date	_____

Risk result input by staff into the system	
☐	High risk (Approval should be supported by Enhanced Due Diligence Form)
☐	Normal Risk
☐	Low Risk
Doc Con Staff Signature	_____
Name of Doc Con Staff	_____
Date	_____

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Appendix 1

In accordance with Schedule 2 of the Anti-Money Laundering and Counter Terrorist Financing (Financial Institutions) Ordinance, Cap 615 and section 4.11 Politically exposed persons (PEPs) of SFC's Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations) (June 2023).

"Foreign PEP" refers to:

(a) an individual who is or has been entrusted with a prominent public function by a foreign country, i.e. in a place **outside** the People's Republic of China and (i) includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official; but (ii) does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i);

(b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a), or a spouse or a partner of a child of such an individual; or

(c) a close associate of an individual falling within paragraph (a);

"Domestic PEP" refers to:

(a) an individual who is or has been entrusted domestically with a prominent public function in a place **within** the People's Republic of China and (i) includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official; but (ii) does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i);

(b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a), or a spouse or a partner of a child of such an individual; or

(c) a close associate of an individual falling within paragraph (a);

"International organisation PEP" refers to:

(a) an individual who is or has been entrusted with a prominent function by an international organisation, and

(i) includes members of senior management, i.e. directors, deputy directors and members of the board or equivalent functions;

(ii) but does not include a middle-ranking or more junior official of the international organisation;

(b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a) above, or a spouse or a partner of a child of such an individual; or

(c) a close associate of an individual falling within paragraph (a).

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FATF Recommendation 12 states that FIs should be required, in relation to PEPs, in addition to performing normal due diligence measures, to:

(a) Have appropriate risk management systems to determine whether the customer or the beneficial owner is a politically exposed person;
(b) Obtain senior management approval for establishing (or continuing, for existing customers) such business relationships;
(c) Take reasonable measures to establish the source of the wealth and source of funds; and
(d) Conduct enhanced ongoing monitoring of the business relationship

FATF Recommendation 12 is applicable to family members or close associates of PEPs. It also extends the above requirements to DNFBPs.

The Wolfsberg Group’s Frequently Asked Questions ('FAQs') on PEPs is a useful reference document that deals with various issues that arise when mitigating the risk associated with PEPs.

https://db.wolfsberg-group.org/assets/a0f0d60a-4aab-4711-9c82-2f220589d7cd/110.%20Wolfsberg-Publication-Statement-on-PEPs-May-2017.pdf

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Appendix 2

FATF Members

The Members of the FATF

The FATF currently comprises 40 member jurisdictions (38 jurisdictions and 2 regional organisations), representing most major financial centres in all parts of the globe.

Argentina	France	Japan	Russian Federation*
Australia	Germany	Korea	Saudi Arabia
Austria	Greece	Luxembourg	Singapore
Belgium	Gulf Co-operation Council	Malaysia	South Africa
Brazil	Hong Kong, China	Mexico	Spain
Canada	Iceland	Netherlands	Sweden
China	India	New Zealand	Switzerland
Denmark	Indonesia	Norway	Türkiye
European Commission	Ireland	Portugal	United Kingdom
Finland	Israel		United States
	Italy		

*FATF suspended membership of the Russian Federation on 24 February 2023