



**AL WUSTA FISHERIES INDUSTRIES**

**Know Your Customer Checklist**

Issue Date : 21/02/2019

Rev Date :

Rev No. : 000

**Know Your Customer (KYC)**

**Information of Supplier for the purpose of its identification**

<b>Company Information</b>	Company Name			
	Company Address			
	P.O. Box / City / Country	P.O. Box:	City:	Country:
	Actual location address			
	Form of incorporation			
	Name of regulator (or self-regulatory organisation)			
	Trade License / Commercial Reg.No.		(Please attach copy)	
	Date of Issue		Date of Expiry :-	
	Main contact person (Name, title & tel. no: )			
	Telephone Number		Fax Number :-	
Email Address		Web Address :-		
<b>Share Structure</b>	Listed/Unlisted company?			
	If Listed, on any securities exchange?			
	If not a listed a company, please attach a list of the shareholders (owners) and return together with this questionnaire			



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<b>Directors / Ownership Structure</b>	Main shareholders (If individual, please provide a copy of the passport)			
	Shareholders Address P.O.Box / City / Country			
	Structure (number and type of shares / stake, their nominal value and total amount)			
	Board members/ Officers	<u>Name</u>	<u>Contact No.</u>	<u>Nationality/Passport No.</u>
	(1)			
	(2)			
<b>Business Activities</b>	1.	Please describe your core business activities		
	2.	Please provide name and contact details of your primary bankers		
	3.	Please provide name and contact details of your auditors		
	4.	Please attach copy of your most recent annual and quarterly financial statements, audited (if available) and non-audited		
	5.	Is your company regulated or supervised by local regulatory authorities?	YES / NO	
	6.	Are the shares of your company listed on any exchange? If so, which exchange?	YES / NO	
	7.	Has your company been the subject of any judiciary, regulatory or exchange inquiry, investigation, conviction or sanction in the last 5 years? If Yes – please describe the nature of the same and what action has been taken to rectify problems identified by the regulator, authority or exchange?	YES / NO	
	<b>Anti-Money Laundering (AML) / Countering</b>	<b><u>Laws And Regulations</u></b>		
1.		Is money laundering and terrorist financing considered as a crime in the country in which you are incorporated and/or based?	YES / NO	
2.		Has the country in which you are incorporated and/or based established laws designed to prevent money laundering and terrorist financing?	YES / NO	
<b>Anti-Money Laundering (AML) / Countering</b>	<b><u>Policies And Procedures</u></b>			
1.	Are your institution's AML/CFT policies and procedures in accordance with local laws, rules and regulations?	YES / NO		



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2.	Does your institution have written policies and procedures about AML/CFT for all domestic and foreign business units?	YES / NO
3.	Do your institution's AML/CFT policies and procedures apply to all your branches and subsidiaries both in the home country and in locations outside of your home country?	YES / NO
4.	Do your institution's AML/CFT policies and procedures require approval of your Board/ Management/Senior Management? Scratch which is not applicable.	YES / NO
5.	Are your AML/CTF policies and procedures reviewed on a periodic basis?	YES / NO
6.	Does your compliance program include establishing policies, procedures and processes for managing Economic & Trade Sanctions?	YES / NO
7.	If 'Yes', please indicate the Sanctions program(s) covered:	
8.	Is there an established method at your institution for reporting suspicious activities or transactions to the appropriate authority?	YES / NO
9.	Does your institution have a policy of protecting employees if they report, in good faith, any suspicious activity?	YES / NO
<b>KYC/CDD</b>		
1.	Does your AML/KYC/CDD policies and procedures require you to:	
a.	Identify, verify and document the identity of customers	YES / NO
b.	Obtain information on the purpose and intended nature of the business relationship / transaction	YES / NO
c.	Conduct on-going due diligence and scrutiny, to ensure the information provided is updated and relevant	YES / NO
d.	Monitoring customer activity to detect suspicious activity	YES / NO
e.	Conduct enhanced due diligence for high risk customers such as PEPs, Unregulated Financial Institutions etc.	YES / NO
f.	Keep all the records pertinent to customers' identification and transactions. If yes, for how long?	YES / NO
2.	Has your institution been subject to any investigation, indictment, conviction or civil enforcement action related to money laundering and terrorism financing in the past five years.	YES / NO
3.	Does your institution ensure that effective anti-money laundering and counter-terrorism controls are in place on new products and when dealing in non-face to face interactions or through intermediaries?	YES / NO
4.	Do you search your customer against a particular Economic Trade Sanctions program?	YES / NO
5.	If 'Yes', please indicate the Sanctions program(s) used:	
<b>AML/CFT COMPLIANCE PROGRAMME</b>		
1.	Is there a senior officer or a designated Compliance Officer responsible for your institution's Anti-Money Laundering and Counter Terrorist Financing Program?	YES / NO
2.	Is there an Internal Audit function to review the system for prevention of money laundering and terrorism financing and reviews your institution's AML/CFT Compliance policy and program?	YES / NO
	If 'Yes' to Question 28, how frequent is the review conducted?	
3.	Are the results of the review escalated to Senior Management?	YES / NO

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<b>Check List of documents</b>	1. Trade License		4. Company Profile / Brochure	
	2. Commercial Registration Certificate		5. Audited Financial Statements	
	3. Chamber of Commerce Certificate		6. Referral letter Specimen	
<b>Authorised Signatory</b>	<b>Signature</b>		<b>Date</b>	<b>Company Seal</b>
	<b>Name</b>			
	<b>Designation</b>			
<p>I/We hereby declare that the particulars given herein above are true, correct and complete to the best of my/our knowledge and belief, the documents submitted in support of this Form KYC are genuine and obtained legally from the respective issuing authority. In case of any change in any of the aforementioned particulars, I/we undertake to notify you in writing failing which the above particulars may be relied upon including all shipments/documents executed and tendered by the individual so authorized. I/we hereby authorize you to submit the above particulars to the customs and other regulatory authorities on my/our behalf as may be required in order to transport and customs clear my/our shipments.</p>				