

# Do you have the following AML documents for each of your clients?

Signed <b>KYC form</b> from client	✓
Client's <b>company setup</b> documents (Trade License, Memorandum of Association, etc.)	✓
Independent <b>verification</b> of company setup documents (e.g., National Economic Register)	✓
<b>Natural Persons</b> holding 25% or more stake in the legal entity	✓
KYC documents of all the natural persons	✓
Independent <b>verification</b> of KYC documents of natural persons (through original sighting or from independent source)	✓
Results of <b>sanctions</b> screening (manually or using a screening tool)	✓
Results of political exposure ( <b>PEP</b> ) screening (manually or using screening tool)	✓
Results of <b>Adverse Media</b> screening using open internet searches	✓
Completed <b>Client Risk Assessment</b> form / Client Risk Profiling form (verified by two persons)	✓
Client <b>classification</b> as Standard Due Diligence or Enhanced Due Diligence based on risk profiling (maintain a register)	✓
<b>Enhanced Due Diligence</b> measures applied wherever applicable (additional ID documents, source of wealth and source of funds, more frequent monitoring)	✓
<b>Periodic reviews</b> conducted for clients with ongoing business relationship (once in 2 years for SDD; every year for EDD) (KYC documents, screening, transactions review, risk assessment, risk classification & EDD measures)	✓
<b>Red flags</b> indicators identified in client transactions; internal reports or SAR / STR filed in goAML system	✓
Are all the AML documents maintained for a period of <b>5 years</b> post completion of transaction or termination of ongoing business relationship?	✓