Plutus Securities Limited
貝德斯證券有限公司

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Date 日期: _____

Licensed Corporation with the Securities and Future Commission ("SFC") (CE No. BNJ530) and Exchange Participant of The Stock Exchange of Hong Kong Ltd.
為證券及期貨事務監察委員會（"證監會"）註冊之持牌法團（CE 編號 BNJ530）及香港聯合交易所有限公司參與者。

Anti-Money Laundering and Counter-Financing of Terrorism Risk Assessment Form – Individual/Joint Account

打擊洗錢及恐怖分子資金籌集風險評估表格 – 個人/聯名帳戶

Client Name: 客戶姓名:		Date: 評估日期:
Part 1: Risk Assessment **第一部份: 風險評估問題**		
Country Risk **國家風險**	**YES 是**	**NO 否**
1) Is client's nationality a member of the Financial Action Task Force (FATF Member) [1]? If yes, please answer the question 3. 客戶的國籍是否為財務特別行動組織成員(FATF Member)[1]? 如是，請答問題 3。		
2) Is the nationality of the client a high-risk country [2]? 客戶的國籍是否為高風險國家 [2]?		
3) Is client resided from country indicated by Financial Action Task Force (FATF Member) [1]? If yes, please answer the question 5. 客戶的居住國家是否為財務特別行動組織成員(FATF Member)? 如是，請答問題 5。		
4) Is client resided from high-risk country [2]? 客戶的居住國家是否為高風險國家 [2]?		
Client Risk **客戶風險**	**YES 是**	**NO 否**
5) Is the source of wealth of the client is unclear or cannot be easily verified? 客戶的資金來源是否來歷不明或不輕易核實?		
6) Is the client involved in High-Risk industry? Such as industries that are exposed to large amounts of cash: casino / other gambling related / currency exchange / Virtual commodity operators or provide machines or channels to assist in the sale of virtual goods, etc.? 客戶是否擁有一些較高洗黑錢風險業務，如接觸大量現金往來的行業: 找換業、博彩業、虛擬商品營運商或提供機器或渠道協助虛擬商品的買賣等?		
7) Is the client a / linked to Politically Exposed Persons (PEP)? 客戶是否為政界人士或與政治人物有聯繫?		
8) Is the client on the RiskScreen list? 客戶是否出現於 RiskScreen 名單內? If yes, please provide details: 如是，請列詳情: _____		
Delivery/Distribution Channel Risk **交付及分銷渠道風險**	**YES 是**	**NO 否**
9) Is account opening procedures using a non face-to-face approach? Such as the client is not interviewed, the signing of account opening documentation and sighting of identity documents of the client is not conducted in the presence of Plutus employees or the recognized professionals; e.g. where the account is opened via online, postal or telephone channels. 客戶的開戶方法是否採用非面對面? 即沒有在貝德斯僱員或認可專業人士見證下的方式進行，如網上、郵寄或電話渠道等。		

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Part 2: Standard of Risk Rating
第二部份: 風險評級標準

1st Level Rating 第一層評級			2nd Level Rating 第二層評級		
Question 問題	Answer 答覆	Result 評級結果	Question 問題	Answer 答覆	Result 評級結果
2, 4, 5, 6, 7, 9	If any question "YES" 任何一條選擇為 "是"	High Risk 高風險	8	NO 否	Normal Risk 一般風險
	NO 否	Normal Risk 一般風險		YES 是	Compliance Department advice is required 請諮詢合規部

Part 3: Money Laundering Assessment
第三部份: 洗錢風險評估

Risk rating of Money Laundering 洗錢風險評分	☐ Normal 一般	☐ High 高

High Risk Customer - Follow-up plan 高風險客戶跟進方案

Enhanced Due Diligence (EDD) 須採取更嚴格的客戶盡職審查	Report to the Compliance Department 須向合規部舉報	Conduct business 開展業務關係
☐ NO 否 ☐ YES 是	☐ NO 否 ☐ YES 是	☐ NO 否 ☐ YES 是

On-going review 定期覆檢	☐ When there is a trigger event 當有觸發事件時	☐ Regular 定期	☐ Once a year 每年一次

Filled by Account Executive / Customer Services: 經紀/客戶服務人員填寫:	Approved by Responsible Officer: 負責人員審批:.
Name 姓名:_____	
Position 職位:_____	Name 姓名:_____
Date 日期:_____	Date 日期:_____

[1] FATF Member http://www.fatf-gafi.org/countries/

http://www.fatf-gafi.org/about/membersandobservers/ *FATF Observers, FATF Associate Members and FATF Observer Organizations are also prescribed in the website.*

[2] High Risk Country http://www.fatf-gafi.org/countries/#high-risk