



# Anti-Money Laundering/Know Your Customer Compliance Questionnaire for Financial Institutions<sup>1</sup>

## 1 GENERAL INFORMATION ABOUT THE INSTITUTION

- 1.1 Full Legal Name of Institution .....
- 1.2 Trading Name(s) (if different from the above) .....
- 1.3 Legal Entity Identifier (LEI) .....
- 1.4 Registration Number of Entity .....
- 1.5 Full Address of Registered Office      Street and Town .....
- Country .....
- 1.6 Physical Address of Head Office      Street and Town .....
- Country .....
- 1.7 Principal Place of Business (address if      Street and Town .....
- different from above)      Country .....
- 1.8 Licence      Licence Type .....
- Issued By .....
- Licence Number .....
- Date of Issuance .....
- Expiry Date (if applicable) .....

<sup>1</sup> This form must be submitted together with the duly completed latest Wolfsberg questionnaire.

## 1.9 Legal Status

- ☐ Public Limited Company
- ☐ Private Company Limited by Shares
- ☐ Company Limited by Guarantee
- ☐ Unlimited Liability Company
- ☐ Joint Stock Company

- ☐ Government Bank
- ☐ Cooperative Bank
- ☐ Savings Bank (under Special Law)
- ☐ Other (please specify) .....
- .....
- .....

## 1.10 Is the financial institution credit-rated?

- ☐ Yes ☐ No

If 'Yes', please indicate below:

Rating Agency	Rating
.....	.....
.....	.....

## 1.11 External Auditors

Name .....

Address .....

Telephone .....

Email .....

## 1.12 Legal Advisers

Name .....

Address .....

Telephone .....

Email .....

## 1.13 Foreign Exchange Regulations

Is the financial institution authorised to trade in foreign currency exchange business?

- ☐ Yes ☐ No

Are there any restrictions on this authorisation?

- ☐ Yes ☐ No

1.14 Swift Code .....

1.15 Tax Identification Number .....

1.16 FATCA<sup>2</sup> Status

Please provide the registration status of your institution (check as appropriate and provide relevant information).

Classification

☐ GIIN<sup>3</sup> .....

☐ Model IGA<sup>4</sup> .....

☐ Not Applicable .....

1.17 Stock Exchange

Are the financial institution's shares traded on a stock exchange?

☐ Yes    ☐ No

If 'Yes', please indicate the name and country of the stock exchange.

.....

Your stock symbol .....

1.18 Operating Law .....

1.19 Products and Services .....

1.20 Operating Countries .....

1.21 Number of Local Branches .....

1.22 Number of Overseas Branches .....

1.23 Africa Entity Identifier .....

1.24 Contact Details

Business Email .....

Business Telephone .....

Website .....

1.25 Key Contact Person

Name .....

Address .....

Telephone .....

Email .....

2 US Foreign Account Tax Compliance Act

3 Global Intermediary Identification Number

4 FATCA Intergovernmental Agreement with your jurisdiction

## 2. OWNERSHIP STRUCTURE

### 2.1 Government Ownership? (as may apply)

State-owned Company?

☐ Yes ☐ No

If 'Yes', please state the:

- Country .....
- Government Ownership .....%

### 2.2 Shareholding Information

Please list shareholders who own 5% or more of voting rights:

Name (individual/legal entity)	Country of Citizenship or Incorporation (for legal entities)	Shareholding (%)
1.		
2.		
3.		
4.		

(If more space required, please attach a clearly labelled separate sheet.)

### 2.3 Beneficial Owners' Information<sup>5</sup>

Please provide information on natural person(s) who ultimately own the company if not included in the table above:

Name	Citizenship	Country of Residence (if different from citizenship)	Date of Birth	Shareholding (%)
1.				
2.				
3.				
4.				
5.				

(If more space required, please attach a clearly labelled separate sheet.)

<sup>5</sup> 'Beneficial Owner' refers to (i) the natural person(s) who ultimately owns or controls the financial institution through direct or indirect ownership or control over a sufficient percentage of the shares or voting rights or (ii) natural person(s) who exercises control over the financial institution.

## 2.4 Management Structure

**Board of Directors** (please list the members of the board or equivalent corporate body below):

Board Member Name	Designation	Citizenship	Passport Number/ National Identification Number	Expiry Date

(If more space required, please attach a clearly labelled separate sheet.)

**Executive Management** (please list the key management staff below):

Executive Name	Citizenship	Designation

(If more space required, please attach a clearly labelled separate sheet.)

## 3 COMPLIANCE DECLARATION (please check as appropriate)

- (a) Are there Shareholders, Directors or Executive Management who hold positions in the public sector/ government?

☐ Yes ☐ No

If 'Yes', please provide details below.

Name: .....

Role in the Company: .....

Public position held: .....

- (b) Are the Company, Shareholders or other related parties under any sanctions or restrictions by any regulator or sanctioning body?

☐ Yes ☐ No

If 'Yes', please provide details below.

.....  
.....  
.....  
.....

(c)

Is the company compliant with environment and social management laws in all the countries in which it operates?

☐ Yes

☐ No

If 'No', please provide details below.

(d)

Is the company compliant with anti-bribery and anti-corruption laws in all the countries in which it operates?

☐ Yes

☐ No

If 'No', please provide details below.

(e)

Does the entity comply with anti-money laundering and combating of terrorism financing laws and regulations?

☐ Yes

☐ No

If 'No', please provide details below.

(f)

Has legal action been brought against the company before the regulatory body regarding violations of anti-money laundering and/or terrorist financing laws and regulations?

☐ Yes

☐ No

If 'Yes', please provide details below.

(g)

Does the company conduct background checks on its customers and counterparties, including contractors, employees and other third parties?

☐ Yes

☐ No

If 'No', please provide details below.



#### 4. ANTI-MONEY LAUNDERING, COUNTER TERRORISM FINANCING AND TAX COMPLIANCE DECLARATION

I, ..... (Name), .....  
(Designation), confirm that .....  
(Name of Financial Institution), for which I am an authorised signatory:

- i. complies, on a permanent basis, with all applicable laws, regulations, codes and sanctions relating to tax compliance, and anti-money laundering and counter-terrorism financing;
- ii. is not engaged in activities, practices or conduct which would constitute offences under the applicable laws, regulations, codes and sanctions relating to anti-money laundering, illicit financial flows, terrorism financing or tax evasion in countries where we operate;
- iii. will not directly or indirectly make use of Afreximbank/MANSA products, facilities, services and/or the business relationship with Afreximbank:
  - a. to support any activities or business with any person or organisation that is engaged in money laundering, bribery and corruption, illicit financial flows, terrorism financing or tax evasion; and
  - b. to conduct any transactions in violation of applicable laws and regulations in all countries of operation;
- iv. has implemented the necessary processes and controls to ensure that there will be no direct or indirect use of our relationship with Afreximbank that would result in a violation of the above referred laws and regulations;
- v. ensures regular monitoring of the transactions of its customers;
- vi. collaborates with the Financial Intelligence Unit (FIU) of countries where it operates to declare suspicious transactions;
- vii. provides copies of its risk management policies/procedures as may be required by Afreximbank;
- viii. provides periodic compliance declarations to Afreximbank as may be required from time to time;
- ix. consents to Afreximbank team on-site visits from time to time.



We declare that neither the organisation, its authorised representatives, nor affiliates are under criminal investigation or prosecution and have not prior hereto been convicted in court for any violation of taxation laws and laws against money laundering/counter financing of terrorism and illicit financial flows.

We commit to provide to Afreximbank, on an ongoing basis, all information required to explain the authenticity of our transactions.

All information provided above is true and represents (Entity Name) .....

Completed by: .....

Title:	Signature (By Authorised Signatory) & Stamp:	Date:
.....	.....	.....



## 5. MANSA ONBOARDING CONSENT

The African Export-Import Bank (Afreximbank) has taken the initiative to design and create the Africa Customer Due Diligence Repository Platform (MANSA or the 'Platform'). The Platform will carry relevant information about African banks and corporates, macroeconomic statistics, investment climate, etc. in one portal. The information on the Platform will also include relevant news and events with the intent of informing its audience on key compliance and investment-related issues and opportunities about Africa. It is anticipated that, with the growth of the repository, there will be more trade and business collaboration among Africans, resulting in standardised due diligence processes that will further enhance innovation and integration, and promote intra- and extra-African trade.

Having your organisation's Know-Your-Customer (KYC) information on the MANSA Platform will confer many benefits, including creating visibility of your organisation to business counterparties, such as potential lenders, customers, business partners, suppliers and investors. One of the key advantages of this initiative is that key customer due diligence information about your company will be easily accessed by banks, as well as potential investors within Africa and globally, who are seeking to do business on the continent. It will make it easier for them to offer services, including possible credit facilities to your company. The Platform will significantly reduce the cost of compliance for African entities and make it easier to access other international banking services. As the African Continental Free Trade Area (AfCFTA) agreement becomes operational, MANSA will facilitate intra-African trade and investments, and make it easier for African banks to assess your credit risks. The Pan-African Payment and Settlement System (PAPSS), which Afreximbank is implementing with African Union support, will rely heavily on Customer Due Diligence data contained in MANSA. PAPSS will make it possible for intra-African trade payments to be made in African national currencies.

I, Mr./Mrs./Dr./Prof./..... on behalf of.....  
..... (Company name, address, etc.), do hereby  
approve that ..... (Company name) data be uploaded onto the MANSA Platform.

Name: .....  
Position: .....  
Organisation: .....

Signature: .....  
Date: .....

## 6. CHECKLIST OF SUPPORTING DOCUMENTS – FINANCIAL INSTITUTIONS

Duly completed latest Wolfsberg questionnaire	<input type="checkbox"/>
Certificate of Registration/Certificate of Incorporation (as may apply)	<input type="checkbox"/>
Certificate of Change of Name (as may apply)	<input type="checkbox"/>
Operating Licence	<input type="checkbox"/>
Memorandum & Articles of Association/Company Statutes/Memorandum of Incorporation/Company Regulations (as may apply)	<input type="checkbox"/>
List of Shareholders and their respective shareholding percentages (including details of Ultimate Beneficial Owners)	<input type="checkbox"/>
Register of Shareholders with profiles (as may apply)	<input type="checkbox"/>
Latest Annual Report	<input type="checkbox"/>
Register of Directors	<input type="checkbox"/>
Profiles of Board Members	<input type="checkbox"/>
Certified Copies of Identification Documents (national ID or passport) for at least two legal representatives (e.g. CEO and Deputy CEO) responsible for the business relationship	<input type="checkbox"/>
Profiles of Executive Management	<input type="checkbox"/>
Board Resolution authorising opening of an account with Afreximbank (as may apply)	<input type="checkbox"/>
List of Authorised Signatories	<input type="checkbox"/>
Environmental Compliance Declaration	<input type="checkbox"/>
Current AML/CFT Policy	<input type="checkbox"/>
Foreign Exchange Regulations	<input type="checkbox"/>

### Headquarters

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1/2/3/4

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### Harare Branch

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### Abidjan Branch

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### Kampala Branch

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### Yaoundé Branch

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