



## ANTI-MONEY LAUNDERING/ANTI-TERRORIST FINANCING QUESTIONNAIRE

THE BANK OF NOVA SCOTIA  
TRADE FINANCE & FINANCIAL INSTITUTIONS  
TORONTO, ONTARIO, CANADA M5H 1H1

Fax: 416-933-7467  
E-mail: [corrbbkg@scotiabank.com](mailto:corrbbkg@scotiabank.com)

<b>Bank Name:</b>		
<b>Address:</b>		
We appreciate your response to the following questions regarding your institution's Anti-Money Laundering and Anti-Terrorist Financing policies and procedures.		
<i>Scotiabank is committed to providing its correspondents with equally forthcoming disclosure of its own AML policies and procedures. These are attached or are available on request.</i>		
Do the responses provided below apply to:		
<input type="checkbox"/> your institution's domestic banking subsidiaries and branches in the country of head office jurisdiction? and/or <input type="checkbox"/> your institution's foreign banking subsidiaries and branches?		
What is the name of your supervisory regulatory agency?		
Has your institution appointed a senior officer responsible for its Anti-Money Laundering program? Please provide their name, position title, mailing address, telephone number and email address.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
Does your country adhere to the 40 anti-money laundering recommendations and nine special terrorist financing recommendations developed by the Financial Action Task Force (FATF)?	<input type="checkbox"/>	<input type="checkbox"/>
If your country is not a member of the FATF please provide the name of the comparable organization to which your country belongs?		
<b>YOUR BANK'S AML/ATF POLICIES, PROCEDURES AND CONTROLS</b>		
Do your institution's anti-money laundering and anti-terrorist financing policies, procedures, and controls include:		
a) A "Know Your Customer" identification process when an account is opened which includes:		
i. Identification of each customer using independent verifiable sources?	<input type="checkbox"/>	<input type="checkbox"/>
ii. Identification of each beneficial owner, including ownership and control structure of the customer, where applicable?	<input type="checkbox"/>	<input type="checkbox"/>
iii. Establishing and, on an ongoing basis, conducting customer due diligence and maintaining records in accordance with applicable regulations?	<input type="checkbox"/>	<input type="checkbox"/>

See Reverse



	YES	NO
iv. Information regarding the purpose and nature of the business relationship?	( )	( )
v. Ongoing due diligence of the business relationship and scrutiny of transactions undertaken to ensure that they are consistent with the profile of that customer?	( )	( )
vi. Establishing enhanced due diligence programmes with respect to dealings with individuals, companies and institutions located in or dealing with higher risk countries?	( )	( )
vii. Identification of any Politically Exposed Persons with enhanced due diligence on any such customers?	( )	( )
viii. Provisions to address risks related to non-face-to-face business relationships and the use of intermediaries and other third party sources of business?	( )	( )
b) A mandatory anti-money laundering training program for all management and staff carried out on a regular basis?	( )	( )
c) Adhering to all regulations and laws in your country regarding anti-money laundering and anti-terrorist financing?	( )	( )
d) Meeting all laws, regulations and guidelines established by regulatory authorities in all countries of operation?	( )	( )
e) An established process to periodically test the adequacy of AML procedures and policies?	( )	( )
<b>KEY REGULATORY ISSUES</b>	( )	( )
a) Has your institution established and maintain, on an ongoing basis an anti-money laundering/anti-terrorist financing compliance programme?	( )	( )
b) Does your institution monitor and report suspicious transactions in accordance with applicable regulations?	( )	( )
c) Does your institution conduct business with shell banks?	( )	( )
d) Does your bank offer anonymous accounts, i.e. numbered accounts for which your bank does not have full particulars of the beneficial owner?	( )	( )
e) Do you send wire transfers or issue drafts on behalf of non-customers without obtaining proof of identification?	( )	( )
f) Does your institution check the names of current and prospective account holders and monitor all transactions against official lists of suspected terrorists and/or terrorist organizations? Are all confirmed matches reported to competent authorities?	( )	( )
Does your institution monitor large cash deposits and withdrawals?	( )	( )
In relation to cross-border correspondent banking and other similar relationships, does your institution gather sufficient information about a respondent institution to understand their business, reputation, quality of supervision and regulatory history?	( )	( )
With respect to these relationships, does your institution assess the respondent's anti-money laundering/anti-terrorist financing controls and are all new relationships approved by senior management?	( )	( )
Does your institution offer Payable Through (Clear-Through) Accounts?	( )	( )
Does your institution require complete information for outgoing wire transfer instructions, including sender and beneficiary names, addresses, and account numbers?	( )	( )
If you have an Anti-Money Laundering/Anti-Terrorist Financing statement, please attach it to your response.		
Thank you for your assistance.		
_____	_____	
(Name of Officer)	Date	