

This checklist shall be completed to the best of the representative's knowledge.

Money Laundering Risk Profiling Checklist (MLRPC) for Corporate Client

Client Name: _____

Note: This section sets out the factors to assess the level of risk. However, dealer's representative's / staff are expected to also consider any other factors which may be relevant to a particular client to assess the level of risk.

S/No.	Risk Factors	Question	Answer	
			YES	NO
1.	Origin of the client & location of business / transaction	a) Is the client's business incorporated in a "High Risk" country?	<input type="checkbox"/>	<input type="checkbox"/>
		b) Does the location of client's business and/or transaction reside in a "High Risk" country? <i>(Please refer to Attachment A for "High Risk" country)</i> If yes, please specify:	<input type="checkbox"/>	<input type="checkbox"/>
2.	Background / profile of the client	a) Does the client (including directors, substantial shareholders and senior management) fall under high net worth category?	<input type="checkbox"/>	<input type="checkbox"/>
		b) Is the client (including directors, substantial shareholders and senior management) listed or linked to any PEPs? c) Is the client (including directors, substantial shareholders and senior management) listed or linked to the individuals who are listed on the-UN Blocked List or any other blacklisted list as published by any local regulator? <i>(Please refer Attachment B for "High Net Worth Individuals", "PEPs" and "Blacklisted List")</i> If yes, please specify (for PEP, pls specify whether foreign/domestic or persons entrusted with prominent function by an international organisation).	<input type="checkbox"/>	<input type="checkbox"/>
3.	Nature of client's business / employment	Does the client's business/employment fall under the "High Risk" business category? <i>(Please refer to Attachment C for "High Risk" business)</i> If yes, please specify:	<input type="checkbox"/>	<input type="checkbox"/>
4.	Product / service type	Does the product / service fall under the "High Risk" category based on Group's entities risk profiling? <i>(Please refer to Attachments D and D(a) for "High Risk" products / services)</i> If yes, please specify:	<input type="checkbox"/>	<input type="checkbox"/>
5.	Corporate structure	Is the client corporate / ownership structure unduly multiple layered or complex without justifications? If yes, please identify and specify the structure and the beneficial owner controlling the entity:	<input type="checkbox"/>	<input type="checkbox"/>
6.	Legal arrangements	Is the client using legal arrangements that are complex? e.g. trustee / proxy / nominee? If yes, please identify and specify the structure and the beneficial owner controlling the arrangement:	<input type="checkbox"/>	<input type="checkbox"/>

