QUESTIONNAIRE FOR ESTABLISHING CORRESPONDENT BANKING RELATIONSHIPS

A) Bank Profile									
General Information	1	Full Legal Name (in Uzbek)		2	Full Legal Name (in English)		3	Short Name	
	4	Legal Form		5	Information on Bank Branches		6	Country of Registration	
	7	Full Legal Address		8	Date of Establishment		9	Name of the Regulatory Authority	
	10	License Number and Date of Issue		11	If the Bank is a Subsidiary, Name of the Parent Bank		12	SWIFT Code	
Organizational Structure	13	Information on the Organizational Structure		14	Chairman of the Supervisory Board (Full Name)		15	Chairman of the Management Board (Full Name)	
	16	Detailed Information on the Bank's Business Activities		17	Total Assets		18	Number of Employees	
	19	Number of Compliance (Internal Control) Department Employees		20	Number of Customers		21	To Whom Does the Compliance Function Report?	
Information on Shareholders Holding (10% or More)									
	25	Name of Shareholder	Shareholding (%)		Shareholder's Address	Shareholder's Principal Business Activity		Shareholder's Ultimate Beneficial Owner (UBO)	
	25.1.								
	25.2.								
	25.3.								
	25.4.								
	25.5.								
B) Products and Services									

Does the Bank Engage in the Following Activities?	1	Correspondent Banking Activities		2	Providing Services to Money Services Businesses (MSBs)		3	Pul o'tkazmalari xizmatini ko'rsatuvchi provayderlar (PSP)ga xizmat ko'rsatish	
	4	Providing Services to Virtual Asset Service Providers (VASPs)		5	Providing Services to Third-Party Payment Service Providers (PSPs)		6	Private Banking Services	
C) CDD, Transaction Monitoring (TM), and Sanctions Program									
Does the Bank comply with the following CDD, Transaction Monitoring (TM), and Sanctions standards?	1	Customer Due Diligence (CDD)		2	Enhanced Due Diligence (EDD)		3	Identification of the Ultimate Beneficial Owner (UBO)	
	4	Adequately Staffed Personnel		5	Risk Assessment System		6	Periodic Review	
	7	Social Media Screening		8	Politically Exposed Persons (PEPs) Screening		9	Reporting to the Competent Authority	
	10	Transaction Monitoring ™		11	Internal Policies and Procedures		12	Sanctions Program	
	13	Suspicious Activity Report (SAR)		14	Independent Testing		15	Training and Educational Sessions	
D) CDD, Transaction Monitoring (TM), and Sanctions Policies and Procedures									
	1	Does the Bank have policies and procedures in place for CDD, Transaction Monitoring (TM), and Sanctions?		2	Are the CDD, Transaction Monitoring (TM), and Sanctions policies and procedures reviewed and updated annually?		3	Are the CDD, Transaction Monitoring (TM), and Sanctions policies and procedures compliant with international standards?	
	4	Do the CDD, Transaction Monitoring (TM), and Sanctions policies and procedures specify prohibited activities?		5	Please specify the types of prohibited activities applicable to your Bank.		6	Does the Bank have a risk assessment policy and/or methodology?	
	7	Does the Bank have a Know Your Customer (KYC) policy and/or methodology?		8	Does the Bank have procedures and/or a methodology for transaction screening and reporting?		9	Does the Bank have a Risk Appetite Statement (RAS)?	
E) Risk Assessment									
Does the Bank have the following risk assessment system in place?	1	Risk Assessment System		2	Risk Assessment Procedures		3	Automation of the Risk Assessment System	
	4	Customer Risk Assessment		5	Product and Service Risk Assessment		6	Geographical Risk Assessment	
	7	Channel Risk Assessment		8	Risk Assessment Matrix				

F) KYC, CDD and EDD

KYC, CDD	1	Is there a Customer Due Diligence (CDD) procedure in place?		2	Does the Bank carry out customer identification procedures?		3	Does the Bank conduct customer verification procedures?	
	4	Is the customer's business activity reviewed?		5	Is the customer's Ultimate Beneficial Owner (UBO) identified and verified?		6	Is the expected transaction volume assessed?	
EDD	7	Are enhanced due diligence measures applied to customers?		8	Is screening conducted for adverse information?		9	Is a risk matrix applied to customers?	
	10	Is the source of wealth and/or source of funds assessed?		11	Are foreign and international politically exposed persons (PEPs) screened?		12	Are domestic politically exposed persons (PEPs) screened?	
Correspondent Banking Relationships	13	Does your bank maintain correspondent banking relationships with financial institutions domiciled in offshore zones (where an “offshore zone” means a country or territory that provides a preferential tax regime and/or does not require the disclosure of information on financial transactions in accordance with applicable laws and regulations)?							
	14	If yes, please specify them below.							
	15	Does your bank provide correspondent banking services to shell banks?							
	16	Does your bank provide correspondent banking services to other banks that provide correspondent banking services to shell banks?							

G) Transaction Monitoring and Reporting

	1	Are there procedures in place for transaction monitoring?		2	Is the suspicious activity detection system automated?		3	Is real-time transaction monitoring functionality available?	
	4	Are there procedures in place for reviewing suspicious cases?		5	Are internal referrals submitted by bank employees?		6	Are suspicious cases escalated?	
	7	Are there procedures in place for investigating suspicious cases?		8	Are reports submitted regarding suspicious cases?		9	Is the submission of reports automated?	
	10	Are transactions involving cash withdrawals reviewed?		11	Are activities involving crypto-assets reviewed?		12	Is there a system in place to set transaction limits for customers?	

H) Sanctions

	1	Does your bank have a sanctions compliance program in place?		2	Are there procedures in place for sanctions screening?		3	Does your bank comply with United Nations (UN) sanctions regimes?	

	4	Does your Bank apply the U.S. (OFAC) sanctions regime?		5	Does your Bank comply with the European Union (EU) sanctions regime?		6	Does your Bank comply with the UK (OFSI) sanctions regime?	
	7	Does your Bank have qualified sanctions compliance specialists?		8	Does your Bank conduct re-export transactions?		9	Are commodity codes for export, import, and re-export transactions reviewed?	
	10	Is a Sanctions Enhanced Due Diligence (EDD) process applied?		11	Does the Bank have a sanctions screening system for international transactions?		12	Is the SPFS (Russia) system available at the bank?	
	13	Are there sanctions risks?		14	Is there a procedure for refusing/declining transactions?				
	16	Does your bank have correspondent relationships with financial institutions of the Russian Federation and the Republic of Belarus?							
	17	If yes, please indicate them below.							
I) Bank employee professional development / skills upgrading									
	1	Does your bank have a procedure for upgrading employees' qualifications?		2	Does the bank have a program for enhancing employees' level of knowledge?		3	Is there a mechanism for testing/verifying employees' level of knowledge?	

Bank's compliance system representative

Full Name:

Position:

Phone number:

Email address:

Person authorized to sign on behalf of the bank

Full Name:

Position:

Phone number:

Email address:

Stamp:

Signature: ____________________

Date: ____________________