[The letter should be on the firm's letterhead]

To:

Cornèr Banca SA Att. Mr. J. Dulsat Head of Banking Relationship Via Canova 16 6901 Lugano Switzerland

Subject: Return of AML-Questionnaire

Dear Mr. Dulsat

Please find enclosed our fully answered and signed AML-Questionnaire for your disposition.

Best regards

the Wolfsberg Group

Financial Institution Name:	
Location (Country) :	

The questionnaire is required to be answered on a Legal Entity (LE) Level. The Financial Institution should answer the questionnaire at the legal entity level including any branches for which the client base, products and control model are materially similar to the LE Head Office. This questionnaire should not cover more than one LE. Each question in the CBDDQ will need to be addressed from the perspective of the LE and on behalf of all of its branches. If a response for the LE differs for one of its branches, this needs to be highlighted and details regarding this difference captured at the end of each sub-section. If a branch's business activity (products offered, client base etc.) is materially different than its Entity Head Office, a separate questionnaire can be completed for that branch.

No#	Question	Answer
	TY & OWNERSHIP	
1	Full Legal Name	
2	Append a list of foreign branches which are	
	covered by this questionnaire	
3	Full Legal (Registered) Address	
٦	Legal (Registered) Address	
4	Full Primary Business Address (if different from	
	above)	
5	Date of Entity incorporation/ establishment	
6	Select type of ownership and append an	
ľ	ownership chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	
6 a1	If Y, indicate the exchange traded on and ticker	
	symbol	
6 b	Member Owned/ Mutual	
0.5	Wichiber Gwiled/ Watdar	
6 c	Government or State Owned by 25% or more	
6 d	Privately Owned	
6 d1	If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more	
	Beneficial owners with a holding of 10% of more	
7	% of the Entity's total shares composed of	
	bearer shares	
8	Does the Entity, or any of its branches, operate	
8 a	under an Offshore Banking License (OBL) ? If Y, provide the name of the relevant branch/es	
оа	which operate under an OBL	
9	Name of primary financial regulator / supervisory	
	authority	

10	Provide Legal Entity Identifier (LEI) if available	
		l l
11	Provide the full legal name of the ultimate parent (if different from the Entity completing the DDQ)	
12	Jurisdiction of licensing authority and regulator of ultimate parent	
13	Select the business areas applicable to the Entity	
13 a	Retail Banking	
13 b	Private Banking / Wealth Management	
13 c	Commercial Banking	
13 d	Transactional Banking	
13 e	Investment Banking	
13 f	Financial Markets Trading	
13 g	Securities Services / Custody	
13 h	Broker / Dealer	
13 i	Multilateral Development Bank	
13 j	Other	
14	Does the Entity have a significant (10% or more) portfolio of non-resident customers or does it derive more than 10% of its revenue from non-resident customers? (Non-resident means customers primarily resident in a different jurisdiction to the location where bank services are provided.)	
14 a	If Y, provide the top five countries where the non-resident customers are located.	
15	Select the closest value:	
15 a	Number of employees	
15 b	Total Assets	
16	Confirm that all responses provided in the above Section ENTITY & OWNERSHIP are representative of all the LE's branches	
16 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
16 b	If appropriate, provide any additional information / context to the answers in this section.	
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2. PROI	DUCTS & SERVICES	
17	Does the Entity offer the following products and	
	services:	
17 a	Correspondent Banking	
17 a1	lf Y	
17 a2	Does the Entity offer Correspondent Banking services to domestic banks?	
17 a3	Does the Entity allow domestic bank clients to provide downstream relationships?	
17 a4	Does the Entity have processes and procedures in place to identify downstream relationships	
17 a5	with domestic banks? Does the Entity offer correspondent banking	
	services to Foreign Banks?	
17 a6	Does the Entity allow downstream relationships with Foreign Banks?	
17 a7	Does the Entity have processes and procedures in place to identify downstream relationships with Foreign Banks?	
17 a8	Does the Entity offer correspondent banking services to regulated MSBs/MVTS?	
17 a9	Does the Entity allow downstream relationships with MSBs/MVTS?	
17 a10	Does the Entity have processes and procedures in place to identify downstream relationships with MSB /MVTS?	
17 b	Private Banking (domestic & international)	
17 c	Trade Finance	
17 d	Payable Through Accounts	
17 e	Stored Value Instruments	
17 f	Cross Border Bulk Cash Delivery	
17 g	Domestic Bulk Cash Delivery	
17 h	International Cash Letter	
17 i	Remote Deposit Capture	
17 j	Virtual /Digital Currencies	
17 k	Low Price Securities	
17 I	Hold Mail	
17 m	Cross Border Remittances	
17 n	Service to walk-in customers (non-account holders)	
17 o	Sponsoring Private ATMs	
17 p	Other high risk products and services identified by the Entity	
18	Confirm that all responses provided in the above Section PRODUCTS & SERVICES are representative of all the LE's branches	
18 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
18 b	If appropriate, provide any additional information / context to the answers in this section.	

3 AMI	., CTF & SANCTIONS PROGRAMME	
	•	
19	Does the Entity have a programme that sets	
	minimum AML, CTF and Sanctions standards	
	regarding the following components:	
19 a	Appointed Officer with sufficient	
	experience/expertise	
19 b	Cash Reporting	
	· , ,	
19 с	CDD	
13 0	CDD	
	500	
19 d	EDD	
19 e	Beneficial Ownership	
19 f	Independent Testing	
19 g	Periodic Review	
19 h	Policies and Procedures	
19 i	Risk Assessment	
.51	Mon Mosessillelli	
40:	Comptions	
19 ј	Sanctions	
19 k	PEP Screening	
19 I	Adverse Information Screening	
19 m	Suspicious Activity Reporting	
19 n	Training and Education	
	Training and Education	
19 o	Transaction Monitoring	
190	Transaction Monitoring	
20	How many full time employees are in the Entity's	
	AML, CTF & Sanctions Compliance	
	Department?	
21	Is the Entity's AML, CTF & Sanctions policy	
	approved at least annually by the Board or	
	equivalent Senior Management Committee?	
22	Does the Board or equivalent Senior	
	Management Committee receive regular	
	reporting on the status of the AML, CTF &	
	Sanctions programme?	
23	Does the Entity use third parties to carry out any	
	components of its AML, CTF & Sanctions	
	programme?	
23 a	If Y, provide further details	
	''	
24	Confirm that all responses provided in the above	
	Section AML, CTF & SANCTIONS Programme	
	are representative of all the LE's branches	
24 a	If N, clarify which questions the difference/s	
	relate to and the branch/es that this applies to.	
24 b	If appropriate, provide any additional information	
0	/ context to the answers in this section.	
	, context to the answers in this section.	

4. ANTI	BRIBERY & CORRUPTION	
25	Has the Entity documented policies and	
	procedures consistent with applicable ABC	
	regulations and requirements to [reasonably]	
	prevent, detect and report bribery and	
	corruption?	
26	Does the Entity have an enterprise wide	
-0	programme that sets minimum ABC standards?	
27	Has the Entity appointed a designated officer or	
21		
	officers with sufficient experience/expertise	
	responsible for coordinating the ABC	
	programme?	
28	Does the Entity have adequate staff with	
	appropriate levels of experience/expertise to	
	implement the ABC programme?	
29	Is the Entity's ABC programme applicable to:	
30	Does the Entity have a global ABC policy that:	
30 a	Prohibits the giving and receiving of bribes?	
	This includes promising, offering, giving,	
	solicitation or receiving of anything of value,	
	directly or indirectly, if improperly intended to	
	influence action or obtain an advantage	
30 b	Includes enhanced requirements regarding	
	interaction with public officials?	
30 c	Includes a prohibition against the falsification of	
	books and records (this may be within the ABC	
	policy or any other policy applicable to the Legal	
	Entity)?	
31	Does the Entity have controls in place to monitor	
٠.	the effectiveness of their ABC programme?	
32	Does the Entity's Board or Senior Management	
32	Committee receive regular Management	
	Information on ABC matters?	
00	1	
33	Does the Entity perform an Enterprise Wide ABC risk assessment?	
33 a	If Y select the frequency	
34	Does the Entity have an ABC residual risk rating	
	that is the net result of the controls effectiveness	
	and the inherent risk assessment?	
35	Does the Entity's ABC EWRA cover the inherent	
	risk components detailed below:	
35 a	Potential liability created by intermediaries and	
	other third-party providers as appropriate	
35 b	Corruption risks associated with the countries	
55.5	and industries in which the Entity does business,	
	directly or through intermediaries	
25.0		
35 c	Transactions, products or services, including	
	those that involve state-owned or state-	
/	controlled entities or public officials	
35 d	Corruption risks associated with gifts and	
	hospitality, hiring/internships, charitable	
	donations and political contributions	
35 e	Changes in business activities that may	
	materially increase the Entity's corruption risk	
36		
	Procedures?	
35 e 36	donations and political contributions Changes in business activities that may materially increase the Entity's corruption risk Does the Entity's internal audit function or other independent third party cover ABC Policies and	

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	,	
37	Does the Entity provide mandatory ABC training to:	
37 a	Board and senior Committee Management	
37 b	1st Line of Defence	
37 c	2nd Line of Defence	
37 d	3rd Line of Defence	
37 e	3rd parties to which specific compliance activities subject to ABC risk have been outsourced	
37 f	Non-employed workers as appropriate (contractors/consultants)	
38	Does the Entity provide ABC training that is targeted to specific roles, responsibilities and activities?	
39	Confirm that all responses provided in the above Section Anti Bribery & Corruption are representative of all the LE's branches	
39 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
39 b	If appropriate, provide any additional information / context to the answers in this section.	

SANCTIONS POLICIES & PROCEI	DURES
e Entity documented policies and	
ures consistent with applicable AML, CTF	
ctions regulations and requirements to	
ably prevent, detect and report:	
laundering	
st financing	
ons violations	
e Entity's policies and procedures updated t annually?	
Entity's policies and procedures gapped t/compared to:	
andards	
nes the Entity retain a record of the ?	
indards	
es the Entity retain a record of the ?	
he Entity have policies and procedures	
it the opening and keeping of anonymous	
titious named accounts it the opening and keeping of accounts for	
ised banks and/or NBFIs it dealing with other entities that provide	
g services to unlicensed banks	
it accounts/relationships with shell banks	
it dealing with another entity that provides es to shell banks	
it opening and keeping of accounts for n 311 designated entities	
it opening and keeping of accounts for unlicensed/unregulated remittance , exchanges houses, casa de cambio,	
ix de change or money transfer agents s the risks of relationships with domestic reign PEPs, including their family and associates	
escalation processes for financial crime	
the process, where appropriate, for ating existing customer relationships due	
y how potentially suspicious activity ed by employees is to be escalated and gated	
e the processes regarding screening for ons, PEPs and negative media	
e the processes for the maintenance of	
e Entity defined a risk tolerance statement lar document which defines a risk	
ary around their business? he Entity have a record retention lures that comply with applicable laws?	
nat is the retention period?	
n that all responses provided in the above n POLICIES & PROCEDURES are entative of all the LE's branches	
arify which questions the difference/s to and the branch/es that this applies to.	
opriate, provide any additional information xt to the answers in this section.	
opriate, pro	vide any additional information

6 ДМІ	, CTF & SANCTIONS RISK ASSESSMENT	
47	Does the Entity's AML & CTF EWRA cover the	
47	inherent risk components detailed below:	
47 a	Client	
47 b	Product	
47 c	Channel	
47 d	Geography	
48	Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below:	
48 a	Transaction Monitoring	
48 b	Customer Due Diligence	
48 c	PEP Identification	
48 d	Transaction Screening	
48 e	Name Screening against Adverse Media & Negative News	
48 f	Training and Education	
48 g	Governance	
48 h	Management Information	
49	Has the Entity's AML & CTF EWRA been completed in the last 12 months?	
49 a	If N, provide the date when the last AML & CTF EWRA was completed.	
50	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below:	
50 a	Client	
50 b	Product	
50 c	Channel	
50 d	Geography	

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51	Does the Entity's Sanctions EWRA cover the	
	controls effectiveness components detailed	
	below:	
51 a	Customer Due Diligence	
	Guotomo: Buo Bingonio	
51 b	Transaction Screening	
0.5	Transaction corconing	
51 c	Name Screening	
310	Name Screening	
51 d	List Management	
31 u	List Management	
51 e	Training and Education	
316	Training and Education	
51 f	Governance	
51 T	Governance	
51 g	Management Information	
52	Has the Entity's Sanctions EWRA been	
	completed in the last 12 months?	
52 a	If N, provide the date when the last Sanctions	
	EWRA was completed.	
53	Confirm that all responses provided in the above	
00	Section AML, CTF & SANCTIONS RISK	
	ASSESSMENT are representative of all the LE's	
	branches	
53 a	If N, clarify which questions the difference/s	
00 0	relate to and the branch/es that this applies to.	
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53 b	If appropriate, provide any additional information	
	/ context to the answers in this section.	

7. KYC	, CDD and EDD	
54	Does the Entity verify the identity of the customer?	
55	Do the Entity's policies and procedures set out when CDD must be completed, e.g. at the time of onboarding or within 30 days	
56	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:	
56 a	Ownership structure	
56 b	Customer identification	
56 c	Expected activity	
56 d	Nature of business/employment	
56 e	Product usage	
56 f	Purpose and nature of relationship	
56 g	Source of funds	
56 h	Source of wealth	
57	Are each of the following identified:	
57 a	Ultimate beneficial ownership	
57 a1	Are ultimate beneficial owners verified?	
57 b	Authorised signatories (where applicable)	
57 c	Key controllers	
57 d	Other relevant parties	
58	What is the Entity's minimum (lowest) threshold applied to beneficial ownership identification?	
59	Does the due diligence process result in customers receiving a risk classification?	

the customer's risk classification? Select all that apoly: 190 a Product Usage 190 b Geography 190 c Business TyperIndustry 190 d Legal Entity type 290 e Advese Information 291 of Other (specify) 292 if If Y, is this at: 292 a Onboarding 292 b KYC renewal 292 b KYC renewal 293 c Trigger event 294 if Y, is this at: 295 a Onboarding 296 if Indian the method used by the Entity to screen for far adverse medial regarders to rewre? 297 b Trigger event 298 if Y, is this at: 298 a Onboarding 299 b KYC renewal 290 c Trigger event 291 c Trigger event 292 c Trigger event 293 c Trigger event 294 c Trigger event 295 c Trigger event 295 c Trigger event 296 c Trigger event 297 Does the Entity have a risk based approach to screening costomers and connected parties to determine whether they are PEPs, or controlled by PEPs? 296 c Trigger event 297 Does the Entity have pricks proadures and proached to screening costomers and counseled parties to determine whether they are PEPs? 298 Does the Entity have a pricks proadures and proached parties to determine whether they are PEPs? 299 Does the Entity have a pricks proadures and proached parties to determine whether they are PEPs? 290 Does the Entity have a pricks proadures and proached parties to determine whether they are PEPs? 290 Does the Entity have a process to review and update customer information based on: 290 Des the Entity have a process to review and update customer information based on:			
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diligence reviews?	in the second	current and past periodic or trigger event due	
1 *		diligence reviews?	
		1 3	

r	Tell of the state	
70	From the list below, which categories of customers or industries are subject to EDD and/or are restricted, or prohibited by the Entity's FCC programme?	
70 a	Non-account customers	
70 b	Non-resident customers	
70 c	Shell banks	
70 d	MVTS/ MSB customers	
70 e	PEPs	
70 f	PEP Related	
70 g	PEP Close Associate	
70 h	Correspondent Banks	
70 h1	If EDD or EDD & restricted, does the EDD	
	assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2014?	
70 i	Arms, defense, military	
70 j	Atomic power	
70 k	Extractive industries	
70 I	Precious metals and stones	
70 m	Unregulated charities	
70 n	Regulated charities	
70 o	Red light business / Adult entertainment	
70 p	Non-Government Organisations	
70 q	Virtual currencies	
70 r	Marijuana	
70 s	Embassies/Consulates	
70 t	Gambling	
70 u	Payment Service Provider	
70 v	Other (specify)	
71	If restricted, provide details of the restriction	
72	Does the Entity perform an additional control or quality review on clients subject to EDD?	
73	Confirm that all responses provided in the above Section KYC, CDD and EDD are representative of all the LE's branches	
73 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	
73 b	If appropriate, provide any additional information / context to the answers in this section.	

	NITORING & REPORTING	
74	Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?	
75	What is the method used by the Entity to monitor transactions for suspicious activities?	
76	If manual or combination selected, specify what type of transactions are monitored manually	
77	Does the Entity have regulatory requirements to report suspicious transactions?	
77 a	If Y, does the Entity have policies, procedures and processes to comply with suspicious transaction reporting requirements?	
78	Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	
79	Confirm that all responses provided in the above Section MONITORING & REPORTING are representative of all the LE's branches	
79 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	
79 b	If appropriate, provide any additional information / context to the answers in this section.	

MENT TRANSPARENCY	
Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards?	
Does the Entity have policies, procedures and processes to [reasonably] comply with and have controls in place to ensure compliance with:	
FATF Recommendation 16	
Local Regulations	
Specify the regulation	
If N, explain	
Does the Entity have processes in place to respond to Request For Information (RFIs) from other entities in a timely manner?	
Does the Entity have controls to support the inclusion of required and accurate originator information in international payment messages?	
Does the Entity have controls to support the inclusion of required beneficiary information international payment messages?	
Confirm that all responses provided in the above Section PAYMENT TRANSPARENCY are representative of all the LE's branches	
If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
If appropriate, provide any additional information / context to the answers in this section.	
	Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards? Does the Entity have policies, procedures and processes to [reasonably] comply with and have controls in place to ensure compliance with: FATF Recommendation 16 Local Regulations Specify the regulation If N, explain Does the Entity have processes in place to respond to Request For Information (RFIs) from other entities in a timely manner? Does the Entity have controls to support the inclusion of required and accurate originator information in international payment messages? Does the Entity have controls to support the inclusion of required beneficiary information international payment messages? Confirm that all responses provided in the above Section PAYMENT TRANSPARENCY are representative of all the LE's branches If N, clarify which questions the difference/s relate to and the branch/es that this applies to.

40 CA	NOTIONS	
	NCTIONS	
86	Does the Entity have a Sanctions Policy	
	approved by management regarding	
	compliance with sanctions law applicable to the	
	Entity, including with respect its business	
	conducted with, or through accounts held at	
	foreign financial institutions?	
87	Does the Entity have policies, procedures, or	
	other controls reasonably designed to prevent	
	the use of another entity's accounts or services	
	in a manner causing the other entity to violate	
	sanctions prohibitions applicable to the other	
	entity (including prohibitions within the other	
	entity's local jurisdiction)?	
00		
88	Does the Entity have policies, procedures or	
	other controls reasonably designed to prohibit	
	and/or detect actions taken to evade applicable	
	sanctions prohibitions, such as stripping, or the	
	resubmission and/or masking, of sanctions	
	relevant information in cross border	
	transactions?	
89	Does the Entity screen its customers, including	
	beneficial ownership information collected by the	
	Entity, during onboarding and regularly	
	thereafter against Sanctions Lists?	
90	What is the method used by the Entity?	
	, ,	
91	Does the Entity screen all sanctions relevant	
	data, including at a minimum, entity and location	
	information, contained in cross border	
	transactions against Sanctions Lists?	
92	What is the method used by the Entity?	
92	what is the method used by the Entity?	
93	Select the Sanctions Lists used by the Entity in	
	its sanctions screening processes:	
93 a	Consolidated United Nations Security Council	
	Sanctions List (UN)	
93 b	United States Department of the Treasury's	
	Office of Foreign Assets Control (OFAC)	
93 с	Office of Financial Sanctions Implementation	
000	HMT (OFSI)	
93 d	European Union Consolidated List (EU)	
93 a	European Union Consolidated List (EU)	
93 e	Lists maintained by other G7 member countries	
93 f	Other (specify)	
0.4	0	
94	Question removed	
95	When regulatory authorities make updates to	
	their Sanctions list, how many business days	
	before the entity updates their active manual and/	
<u></u>	or automated screening systems against:	
95 a	Customer Data	
95 b	Transactions	
L		

Wolfsberg Group Correspondent Banking Due Diligence Questionnaire (CBDDQ) V1.3

	Does the Entity have a physical presence, e.g., branches, subsidiaries, or representative offices located in countries/regions against which UN, OFAC, OFSI, EU and G7 member countries have enacted comprehensive jurisdiction-based Sanctions?	
97	Confirm that all responses provided in the above Section SANCTIONS are representative of all the LE's branches	
97 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
97 b	If appropriate, provide any additional information / context to the answers in this section.	

	AINING & EDUCATION	
98	Does the Entity provide mandatory training, which includes :	
98 a	Identification and reporting of transactions to government authorities	
98 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	
98 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	
98 d	New issues that occur in the market, e.g., significant regulatory actions or new regulations	
98 e	Conduct and Culture	
99	Is the above mandatory training provided to :	
99 a	Board and Senior Committee Management	
99 b	1st Line of Defence	
99 с	2nd Line of Defence	
99 d	3rd Line of Defence	
99 e	3rd parties to which specific FCC activities have been outsourced	
99 f	Non-employed workers (contractors/consultants)	
100	Does the Entity provide AML, CTF & Sanctions training that is targeted to specific roles, responsibilities and high risk products, services and activities?	
101	Does the Entity provide customised training for AML, CTF and Sanctions staff?	
102	Confirm that all responses provided in the above Section TRAINING & EDUCATION are representative of all the LE's branches	
102 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
102 b	If appropriate, provide any additional information / context to the answers in this section.	

12. QU	ALITY ASSURANCE /COMPLIANCE TESTI	NG
103	Are the Entity's KYC processes and documents subject to quality assurance testing?	
104	Does the Entity have a program wide risk based Compliance Testing process (separate to the independent Audit function)?	
105	Confirm that all responses provided in the above Section QUALITY ASSURANCE / COMPLIANCE TESTING are representative of all the LE's branches	
105 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	
105 b	If appropriate, provide any additional information / context to the answers in this section.	

In addition to inspections by the powerment supervisoriregulators, does the Entity have an internal audit function, a testing function or other independent third party, to both, that assesses FCC AML, CTF and Sanctions policies and practices on a regular basis? How often is the Entity audited on its AML, CTF & Sanctions programme by the following: 107 a Internal Audit Department 108 Does the internal audit function or other independent third party cover the following areas: 108 a AML, CTF & Sanctions policy and procedures 108 b KYC CDD / EDD and underlying methodologies 108 c Transaction Screening including for sanctions 108 c Transaction Monitoring 108 d Transaction Screening including for sanctions 108 e Name Screening & List Management 108 f Transaction Screening the List Management 108 f Transaction Screening the List Management 108 g Technology 108 h Governance 108 in Geovernance 109 Are adverse findings from internal & external audit tracked to completion and assessed for adoquary and and assessed for adoquary management and responses provided in the above section, AUDIT are representative of all the LE's branches 109 a If N, Cariffy which questions the difference/s relate to and the branch/se that this applies to.	13. AUE	DIT	
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Declaration Statement
Wolfsberg Group Correspondent Banking Due Diligence Questionnaire 2020 (CBDDQ V1.3) Declaration Statement (To be signed by Global Head of Correspondent Banking or equivalent position holder AND Group Money Laundering Prevention Officer, Global Head of Anti- Money Laundering, Chief Compliance Officer, Global Head of Financial Crimes Compliance OR equivalent)
(Financial Institution name) is fully committed to the fight against financial crime and makes every effort to remain in full compliance with all applicable financial crime laws, regulations and standards in all of the jurisdictions in which it does business and holds accounts.
The Financial Institution understands the critical importance of having effective and sustainable controls to combat financial crime in order to protect its reputation and to meet i legal and regulatory obligations.
The Financial Institution recognises the importance of transparency regarding parties to transactions in international payments and has adopted/is committed to adopting these standards.
The Financial Institution further certifies it complies with / is working to comply with the Wolfsberg Correspondent Banking Principles and the Wolfsberg Trade Finance Principles. The information provided in this Wolfsberg CBDDQ will be kept current and will be updated no less frequently than on an annual basis.
The Financial Institution commits to file accurate supplemental information on a timely basis.
I,
I, (MLRO or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg CBDDQ are complete and correct to my honest belief, and that I am authorised to execute this declaration on behalf of the Financial Institution.
(Signature & Date)
(Signature & Date)