
FOREIGN FINANCIAL INSTITUTION WORKSHEET FORM

To Be Completed By RR/AP

I) TYPE OF FOREIGN INSTITUTION ("FFI")

- 1) ___ Bank
- 2) ___ Broker Dealer
- 3) ___ Futures Commission Merchant
- 4) ___ Introducing Broker
- 5) ___ Mutual Fund
- 6) ___ Foreign Exchange House

II) TYPE OF ACCOUNT

- 1) ___ Proprietary
- 2) For FFI's which are Handling Customer Business or Funds;
What Type of Customers? Please check all that apply.
 - a) ___ Individual
 - b) ___ Institutional
 - c) ___ Any Customer Noted in Section I above
 - d) ___ Former or Present Foreign Political Figure, Relative, Close Associate of Political Figure, or Entity in which Political Figure is Affiliated
 - e) ___ Personal Investment Corporation
 - f) ___ Offshore Bank

III) TYPE OF BUSINESS

- 1) Futures

a) ___ Speculation

b) ___ Hedge

If Yes, what product(s)? _____

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III) TYPE OF BUSINESS cont'd

2) Securities (Check all that Apply)

- a) ___ Stocks
- b) ___ Options
- c) ___ Corporate Bonds
- d) ___ Governments

3) Foreign Exchange (Please List Currency)

IV) DURATION

- 1) How long does AP (RR) know FFI? _____
- 2) Is there more than one account for FFI? _____

V) JURISDICTION

- 1) In what Country was account established? _____
- 2) Where does the account place its trades? _____
- 3) Is the FFI publicly traded on a Securities Exchange? ___ Yes ___ No

Review by: _____
Supervisor

Date

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NEW ACCOUNTS DEPARTMENT

VI) Background Checks on Institutions

(Must use minimum of two)

1) Outside Source:

(Private Vendor, D&B - Please describe):

2) Government Source:

(Treasury Dept., Justice Dept. - Please describe):

3) Other:

(Magazine Articles, Google - Please describe):

4) AML Record of FFI's Home Country and/or Place of Business:

(Please Review OFAC List, Financial Action Force List, Secretary of Treasury List)

(Please obtain from AML Officer)

VII) A) Request Additional Information from FFI:

- If the FFI is not Publicly Traded (Item V) and is Trading for Customers (Item 2)

1) FFI's Anti-Money Laundering Program

2) If Not Publicly Traded Corporation:

- Passport of Owners and Traders of FFI
(Owner is someone who has more than 10% interest in the Institution)

3) Background Checks of Individuals Who Have Supplied Passports.
Background check would include OFAC Review and Outside Vendor Review.

B) Forward Materials and Worksheet to AML Officer for Review and Sign-off.

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AML OFFICER

VIII) Sign-Off – Determine Frequency of Review of Account. Advise Compliance and Supervisor

AML Officer

Frequency of Review

Date