

**the
Wolfsberg
Group**

Financial Institution Name:
Location (Country):

Shahjalal Islami Bank PLC
Bangladesh

No #	Question	Answer
1. ENTITY & OWNERSHIP		
1	Full Legal name	Shahjalal Islami Bank PLC
2	Append a list of foreign branches which are covered by this questionnaire (if applicable)	N/A
3	Full Legal (Registered) Address	Shahjalal Islami Bank Tower, Corporate Head Office, Plot-4, Block-CWN (C), Gulshan Avenue, Gulshan, Dhaka- 1212
4	Full Primary Business Address (if different from above)	N/A
5	Date of Entity incorporation/establishment	01.04.2001
6	Select type of ownership and append an ownership chart if available	
6 a	Publicly Traded (25% of shares publicly traded)	Yes <input checked="" type="checkbox"/>
6 a1	If Y, indicate the exchange traded on and ticker symbol	01. Dhaka Stock Exchange Ltd. 02. Chittagong Stock Exchange Ltd.
6 b	Member Owned/Mutual	No <input checked="" type="checkbox"/>
6 c	Government or State Owned by 25% or more	No <input checked="" type="checkbox"/>
6 d	Privately Owned	No <input checked="" type="checkbox"/>
6 d1	If Y, provide details of shareholders or ultimate beneficial owners with a holding of 10% or more	N/A
7	% of the Entity's total shares composed of bearer shares	0%
8	Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL) ?	Yes <input checked="" type="checkbox"/>
8 a	If Y, provide the name of the relevant branch/es which operate under an OBL	Offshore Banking Unit attached with Gulshan Branch
9	Does the Bank have a Virtual Bank License or provide services only through online channels?	No <input checked="" type="checkbox"/>
10	Provide Legal Entity Identifier (LEI) if available	254900MDHN871GDYZ694
2. AML, CTF & SANCTIONS PROGRAMME		
11	Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	
11 a	Appointed Officer with sufficient experience/expertise	Yes <input checked="" type="checkbox"/>
11 b	Adverse Information Screening	Yes <input checked="" type="checkbox"/>
11 c	Beneficial Ownership	Yes <input checked="" type="checkbox"/>
11 d	Cash Reporting	Yes <input checked="" type="checkbox"/>
11 e	CDD	Yes <input checked="" type="checkbox"/>
11 f	EDD	Yes <input checked="" type="checkbox"/>



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11 g	Independent Testing	Yes	
11 h	Periodic Review	Yes	
11 i	Policies and Procedures	Yes	
11 j	PEP Screening	Yes	
11 k	Risk Assessment	Yes	
11 l	Sanctions	Yes	
11 m	Suspicious Activity Reporting	Yes	
11 n	Training and Education	Yes	
11 o	Transaction Monitoring	Yes	
12	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee?	Yes	
13	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	Yes	
13 a	If Y, provide further details	S3 compliance for sanction screening, TSS (Transaction Screening Services) from SWIFT for cross border SWIFT message screening, Accuity Online Compliance for Adverse news screening, PEPs screening.	
14	Does the entity have a whistleblower policy?	Yes	
3. ANTI BRIBERY & CORRUPTION			
15	Has the Entity documented policies and procedures consistent with applicable ABC regulations and requirements to reasonably prevent, detect and report bribery and corruption?	Yes	
16	Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?	Yes	
17	Does the Entity provide mandatory ABC training to:		
17 a	Board and Senior Committee Management	Yes	
17 b	1st Line of Defence	Yes	
17 c	2nd Line of Defence	Yes	
17 d	3rd Line of Defence	Yes	
17 e	Third parties to which specific compliance activities subject to ABC risk have been outsourced	Yes	
17 f	Non-employed workers as appropriate (contractors/consultants)	Yes	
4. AML, CTF & SANCTIONS POLICIES & PROCEDURES			
18	Has the Entity documented policies and procedures consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:		
18 a	Money laundering	Yes	
18 b	Terrorist financing	Yes	
18 c	Sanctions violations	Yes	
19	Does the Entity have policies and procedures that:		
19 a	Prohibit the opening and keeping of anonymous and fictitious named accounts	Yes	
19 b	Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs	Yes	
19 c	Prohibit dealing with other entities that provide banking services to unlicensed banks	Yes	
19 d	Prohibit accounts/relationships with shell banks	Yes	
19 e	Prohibit dealing with another Entity that provides services to shell banks	Yes	
19 f	Prohibit opening and keeping of accounts for Section 311 designated entities	Yes	
19 g	Prohibit opening and keeping of accounts for any of unlicensed/unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	Yes	
19 h	Assess the risks of relationships with domestic and foreign PEPs, including their family and close associates	Yes	
19 i	Define the process for escalating financial crime risk issues/potentially suspicious activity identified by employees	Yes	
19 j	Outline the processes regarding screening for sanctions, PEPs and Adverse Media/Negative News	Yes	

