

ANNUAL KYC UPDATE QUESTIONNAIRE

The questionnaire is required to be answered on a Legal Entity (LE) Level. This means the Financial Institution will answer the questionnaire at an ultimate parent / head office & subsidiary level for which any branches would be considered covered by that parent/subsidiary DDQ.

This questionnaire should not cover more than one LE. Each question in the DDQ 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 differed for one of its branches this needs to be highlighted and detail regarding this difference captured at the end of each subsection. If a branch business activity (products offered, client base etc.) is significantly different than its head office, the branch should complete a separate questionnaire.

Finalto Trading Limited use this questionnaire alongside our own policies and procedures in order to provide a basis for conducting client due diligence in a manner consistent with the risk profile presented by the client.

Financial Institution Name:	
Location (Country)	

KYC QUESTIONNAIRE	ANSWER
Full Legal Name	
Company Contact Number	
Email Address	
Full Legal (Registered) Address	
Has the registered address changed in the last 12 months?*	YES <input type="checkbox"/> NO <input type="checkbox"/>
Full Primary Business Address (if different from above)	
Has the Primary Business Address changed in the last 12 months?*	YES <input type="checkbox"/> NO <input type="checkbox"/>
Date of Entity incorporation/ establishment	DD _____ MM _____ YYYY _____

Name of primary financial regulator / supervisory authority and Legal Entity Identifier (LEI)	REGULATOR _____ REGISTRATION NUMBER _____ LEI _____
Nature of Business	
Source of Wealth	
With respect to the beneficial owners, has there been any changes since relationship inception with Finalto Trading Limited?	YES <input type="checkbox"/> NO <input type="checkbox"/>

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If yes please specify:	_____ _____ _____ _____ _____ _____
List the names of all Director and Shareholders. Please include % of shareholdings (complete on a separate sheet or supply an Organisation Chart if necessary)	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

Names of authorised contacts permitted to discuss the account with Finalto Trading Limited	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

*Please provide a POR dated within the last 3 months.

DECLARATION STATEMENT

Declaration Statement (To be signed by Chief Executive Officer of Entity or equivalent position holder OR Group Money Laundering Prevention Officer, Global Head of Anti- Money Laundering, Chief Compliance Officer, Global Head of Financial Crimes Compliance)

The information provided in this questionnaire will be kept current and will be updated no less frequently than on an annual basis.
 _____ (Entity name) commits to file accurate supplemental information on a timely basis.

I _____ (Print Name) state that the information that we have provided in this questionnaire is true to the best of our knowledge and may be relied upon by Finalto Trading Limited.