



**Raiffeisen
BANK**

KNOW YOUR CUSTOMER AND ANTI - MONEY LAUNDERING QUESTIONNAIRE

Name of the Institution	Raiffeisen Banka d.d.
Registered office	Zagrebška cesta 76
Address	Zagrebška cesta 76, 2000 Maribor, Slovenia
Phone	02/22-93-100
E mail	Info@raiffeisen.si
Type and number of licence	Decree of Bank of Slovenia
Date of issuance and validity of licence	From 1993 until cancellation of Decree
Name and address of the issuer of the licence	Bank of Slovenia, Slovenska ulica 35, 1505 Ljubljana, Slovenia

Mark Yes or No by double left click and "Checked", OK

1.	Does your bank have a legal and regulatory compliance program that includes a designated Compliance officer that is responsible for co-ordinating and overseeing the AML program on a day-to-day basis, which has been approved by senior management of the bank? If answer is Yes, kindly provide her/his contact details: <u>tanja.replic@raiffeisen.si, natasa.zupanic@raiffeisen.si</u>	Yes	
2.	Has your institution designated an Anti-Money Laundering Officer responsible for coordinating, monitoring and reporting? If answer is Yes, kindly provide her/his contact details: <u>tanja.replic@raiffeisen.si, natasa.zupanic@raiffeisen.si</u>	Yes	
3.	Does your bank maintain a place of business that is located at a fixed address where it employs one or more individuals on a full-time basis and maintains operating records related to its banking activities?	Yes	
4.	Is your bank subject to inspection by the body that authorized it to conduct banking activities?	Yes	
5.	Does your bank require that its AML policies and practices be applied to all branches and subsidiaries of the bank both in the home and outside of the home country? <i>We don't have any branches or subsidiaries home and outside.</i>	/	/
6.	Has your bank established audit and compliance function to test the adequacy of anti-money laundering procedures and policy?	Yes	
7.	Does your bank offer accounts or services to anonymous customers?		No
8.	Is your bank a shell bank and does your bank provides services to shell banks (A shell bank is defined as a bank incorporated in a jurisdiction in which it does not have physical presence and which is unaffiliated with a regulated financial group.)?		No
9.	Does the bank have policies covering relationships with politically exposed persons consistent with industry best practices?	Yes	

10.	Does your bank have record retention procedures pursuant to applicable law?	Yes	
11.	Does your bank have a risk focused assessment of its customers?	Yes	
12.	Does your bank have procedures for monitoring customers and transactions the bank deems to be of significantly high risk?	Yes	
13.	Do you have a written policy and procedures for prevention and detection of money laundering including "Know your customer"? If yes, please provide us with a copy of the policy.	Yes	
14.	Do your written policies establish customer identification program in order to identify the true identity of customer and beneficial owner of the funds?	Yes	
15.	Does your bank have procedures to retain KYC information / documentation collected at account opening and transactions executing?	Yes	
16.	Does your bank check each customer (both new and existing) against lists of terrorist provided by authorities (OFAC, EU) prior to account opening and transactions completing?	Yes	
17.	Does the bank collect information and assess its financial institutions customer's AML policies and procedures?	Yes	
18.	Does your bank have a monitoring program for suspicious or unusual activity covering funds transfers and monetary instruments (i.e. travellers' checks, money orders, etc...)?	Yes	
19.	Does your bank have procedures to identify transactions structured to avoid large cash reporting requirements?	Yes	
20.	Does your bank have procedures for transaction monitoring and reporting of suspicious activities to the appropriate authorities?	Yes	
21.	Does your bank have an established employee training program about money laundering and terrorist financing prevention?	Yes	
22.	Does your bank retain records of its training sessions including attendance records and training materials?	Yes	
23.	Does your bank have policies to communicate new AML related laws and changes to existing AML procedures and practices to its employees?	Yes	
24.	Does your bank employ agents to carry out some of the functions of the bank and if so does the bank provide relevant AML training to those agents?	Yes	
25.	Is your bank subject to laws designed to combat money laundering and financing of the terrorism within your home country and all countries where you maintain branches? Please provide us also with the description of the regulatory framework in the area of prevention of money laundering and financing of terrorism in your bank's jurisdiction of incorporation.	Yes	

Signature: _____

Nataša Župančič Tanja Repič

Name of Signatory: _____

AML Officers

Title/Position: _____

Date: _____

01.01.2010

For and behalf of: _____



Raiffeisen Banka d.d.