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| **Self-Evaluation Survey** |
| **I. Primary Information of the respondent bank** |
| 1. Full legal name
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| 1. Legal address
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| 1. Contact address
 |  |
| 1. Organizational - legal form
 |  |
| 1. Type of license for conducting banking operations
 |  |
| 1. Title of the body issuing the license for conducting banking operations
 |  |
| 1. Countries where branches are located
 |  |
| 1. Number of branches
 |  |
| 1. Registration number
 |  |
| 1. Registration date
 |  |
| 1. Ownership structure
 |  |
| 1. Management structure
 |  |
| 1. Politically exposed person working in the administrative board
 |  |
| 1. Financial institution rating
 |  |
| 1. Number of employees
 |  |
| 1. Types of banking activities
 |  |
| 1. Title of the banking regulatory and supervisory authority
 |  |
| 1. Registered capital
 |  |
| 1. PEP person in Bank Management/Shareholder
 |  |
| 1. AML Compliance officer information
 |
| Name:Surname:Title:Phone:E-mail: |  |
| 1. Information about shareholders and beneficial owners holding 10% or more
 |
| **Name of shareholder and percentage of shareholding (%)** | **Tax identification number and place of incorporation (residence), full address** | **Main type of activity** | **Name, date and place of birth of beneficial owner, % of shareholding** | **Residence address and main type of activity of shareholding** |
|  |  |  |  |  |
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|  |  |  |  |  |
| **II. Experience, rules and procedures on combating the legalization of criminally obtained funds or other property and the financing of terrorism (AML/CFT)** | **Yes** | **No** |
| 1. Did the management structure of the bank approve the Internal Control System?
 | **[ ]**  | **[ ]**  |
| 1. Was a compliance officer appointed to supervise the implementation of the rules and procedures on AML/CFT at the bank?
 | **[ ]**  | **[ ]**  |
| 1. Has the bank approved regulation on detection and prevention of suspicious transactions and submission of relevant information to the financial monitoring organ?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank possess an internal audit system or other independent audit service which checks the efficiency of the implementation of AML/CFT rules and procedures regularly, besides supervision measures carried out by regulatory and supervision authorities?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank have rules and procedures that prohibit establishing or continuing business relations with shell-banks?
 | **[ ]**  | **[ ]**  |
| 1. Is there rules and procedures ensuring that no transaction will be conducted with shell banks or on their behalf through any account or product at the bank?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank have rules and procedures that cover relations with politically exposed persons of foreign states?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank have rules and procedures on ensuring documentation and confidentiality of information in accordance with effective legislation for AML/CFT?
 | **[ ]**  | **[ ]**  |
| 1. Are AML/CFT rules and procedures applied in all domestic and overseas branches and representative offices of the bank?
 | **[ ]**  | **[ ]**  |
| **III. Risk assessment** | **Yes** | **No** |
| 1. Are the customers and operations they conduct evaluated in terms of "risk-based approach" principles?
 | **[ ]**  | **[ ]**  |
| 1. Has the bank established enhanced due diligence measures for specific categories of high risk customers and operations in AML/CFT field?
 | **[ ]**  | **[ ]**  |
| **IV. Identification, verification and enhanced due diligence measures**  | **Yes** | **No** |
| 1. Does the bank possess procedures to reveal the real identities of the holders of the accounts managed by others or conducting transactions?
 | **[ ]**  | **[ ]**  |
| 1. Is there a requirement to collect detailed information about the business activities of the customers at the bank?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank evaluate AML/CFT experience, rules and procedures of its customers?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank have procedures to regularly review and update information concerning high risk customers?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank have procedures to record documents and maintain the register for each new customer including information on identification, verification and enhanced due diligence?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank use the principle of “risk-basis approach” to analyze normal and expected transactions of the customer?
 | **[ ]**  | **[ ]**  |
| **V. Detection and prevention of suspicious transactions and reporting**  | **Yes** | **No** |
| 1. Does the bank have a procedure and experience in detection and reporting of transactions to be submitted to financial monitoring unit?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank have procedures in cases of necessity to detect transactions attempting to block the transfer of information concerning cash transactions?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank check transactions and customers related to the list of persons and countries prepared by the financial monitoring organ?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank investigate whether the correspondent banks with which it is cooperating possess the appropriate license to function their own countries?
 | **[ ]**  | **[ ]**  |
| **VI. Monitoring of transactions** | **Yes** | **No** |
| 1. Does the Bank have a monitoring program for unusual and suspicious transactions such as the transfer of funds, traveller’s cheque, etc?
 | **[ ]**  | **[ ]**  |
| **VII. AML/CFT Training**  | **Yes** | **No** |
| 1. Does the Bank deliver training for its employees on the following components:
	* Detecting and presenting transactions to be reported to financial monitoring organ;
	* various AML/CFT typologies also covering product and services of the bank;
	* internal AML/CFT regulations.
 | **[ ]**  | **[ ]**  |
| 1. Does the bank retain information on the seminars it held, including relevant seminar materials and notes on attendance?
 | **[ ]**  | **[ ]**  |
| 1. Are the bank employees informed about amendments to existing AML/CFT legislation?
 | **[ ]**  | **[ ]**  |
| 1. Does the bank involve any third person to its activity?
 | **[ ]**  | **[ ]**  |
| 1. If the bank involves any third person to the activity, do those persons deliver trainings on the following subjects:
	* Detecting and presenting transactions to be reported to financial monitoring organ;
	* various AML/CFT typologies also covering product and services of the bank;
	* internal AML/CFT regulations.
 | **[ ]**  | **[ ]**  |
| **VIII. Sanctions** | **Yes** | **No** |
| 1. Does the Entity have a Sanctions Policy approved by management regarding compliance with sanctions law applicable to the Entity, including with respect to its business conducted with, or through accounts held at foreign financial institutions?
 | **[ ]**  | **[ ]**  |
| 1. Does the Entity screen its customers, including beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?
 | **[ ]**  | **[ ]**  |
| 1. Does the Entity screen all sanctions relevant data, including at a minimum, entity and location information, contained in cross border transactions against Sanctions Lists?
 | **[ ]**  | **[ ]**  |
| 1. Indicate the Sanctions Lists used by the Entity in its sanctions screening processes:
 |
|  |
| 1. When regulatory authorities make updates to their Sanctions list, how many business days before the entity updates their active manual and/or automated screening systems against customer data and transactions?
 |  |
| 1. Does the Entity have a physical presence, e.g. branches, subsidiaries, or representative offices located in countries/regions against which UN, OFAC, OFSI, EU or G7 member countries have enacted comprehensive junsdiction-based Sanctions?
* If yes, please indicate the countries:
 | **[ ]**  | **[ ]**  |
| **IX. Certification** | **Yes** | **No** |
| 1. We have currently active certification of USA Patriot Act.
 | **[ ]**  | **[ ]**  |
| 1. We made changes and additions about FATCA in internal procedures
 | **[ ]**  | **[ ]**  |
| 1. We affirm that we do not open the accounts for shell banks and do not conduct any transaction on the behalf of such banks directly or using any of their products.
 | **[ ]**  | **[ ]**  |
| 1. Have you FATCA GIIN number? İf yes please note

**GIIN no:**  | **[ ]**  | **[ ]**  |
| **On behalf of the bank** |
| **Name** |  |
| Position |  |
| **Date: \_\_\_\_\_\_\_\_\_\_\_** | **Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| **Name** |  |
| Position |  |
| **Date: \_\_\_\_\_\_\_\_\_\_** | **Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |