| **Ref** | **Required Information** | **Response** |
| --- | --- | --- |
| 1 | **Basic Information** |  |
| 1.1 | Legal Name of Institution |  |
| 1.2 | Incorporation Number and Place of Incorporation |  |
| 1.3 | Date of Incorporation |  |
| 1.4 | License Number (e.g. Money Services license number) |  |
| 1.5 | Address of Registration & Postcode |  |
| 1.6 | Business Address & Postcode |  |
| 1.7 | Main Business (or Nature of Business) & Industry |  |
| 1.8 | Registered Capital |  |
| 1.9 | Office Telephone |  |
| 1.10 | Website address |  |
| 1.11 | Are you Publicly Listed? If yes, please provide the name of the exchange where the institution is listed? |  |
| 1.12 | Do you issue Bearer Shares? |  |
| 2 | **Business relationship with Airwallex and Business model** |  |
| 2.1 | **What is the intended relationship with Airwallex? Please describe in detail the products and services will be engaging with Airwallex** |  |
| 2.2 | **Please provide reason(s) for intended or performed transactions** |  |
| 2.3 | **Please provide details of your company’s business model and source of fund** |  |
| 3 | **Understanding Your Business** |  |
| 3.1 | What year and where was your business first established? |  |
| 3.2 | How many office locations do your company have?  *(Please provide the address for each location)* |  |
| 3.3 | Does your company have subsidiaries or branches in a country/countries other than where your institution is primarily registered and regulated?  If yes, please specify the location of the subsidiaries or branches. |  |
| 3.4 | How many employees do your company have?  (Please break this number down by location if relevant) |  |
| 3.5 | Does your company have any subsidiaries or branches operating in countries that are sanctioned by the United Nations (UN), United States Office of Foreign Assets Control (US OFAC) or European Union (EU) or own any assets or make any investments into the relevant countries? |  |
| 3.6 | If yes, please specify the country, business information, percentage of revenue generated from the aforesaid relevant countries when compared to your company’s overall revenue. |  |
| 3.7 | Does your company have any subsidiaries or branches operating in countries that are classified as high risk and non-cooperative jurisdiction by Financial Actions Task Force (FATF)? |  |
| 3.8 | If yes, please specify the country, business information, percentage of revenue generated from the aforesaid relevant countries when compared to the company’s overall revenue? |  |
| 3.9 | What type of products and services does your company provide to your customers? |  |
| 3.10 | Does your company use one or more third parties to provide licensed or regulated services? |  |
| 3.11 | If yes to 3.10, please describe the function and nature of the third parties. What type of roles are they acting on behalf of you? |  |
| 3.12 | Please provide the consumer base of your agents referred to in 3.10 (who are their consumers and where are they based?） |  |
| 3.13 | How many customers does your company currently have? |  |
| 3.14 | Please provide the breakdown of customers who have accessed your products and services over the past 12 months:   * by risk rating e.g. percentage that are high, medium or low * by description of merchant industry type/ category * by trade volumes which merchant categories are your biggest traders and smallest traders? * delivery method (e.g. physical branch, online) |  |
| 3.15 | Please provide the top 10 countries your customer(s) domiciled in? |  |
| 3.16 | Can you provide the average size and number of transactions of your customers in a month? |  |
| 3.17 | Please provide the anticipated monthly turnover and number of transactions conducted via Airwallex.   |  | Anticipated Monthly Turnover | | | --- | --- | --- | | Currency | Number of Transactions | Total Amount of Transactions | |  |  |  | |  |  |  | |  |  |  | | Others (Please specify) |  |  | | |
| 3.18 | Does your company on-board customers non face-to-face (i.e over the internet, phone, etc.)? If yes, under what scenarios will onboarding of non face to face customers be allowed?  (Please also provide the approximate % of customers onboarded face to face vs non face to face) |  |
| 3.19 | Does your company have any customers who are financial institutions including but not limited to banks, money service businesses and payment services providers  (If yes, please provide the details of these customers) |  |
| 3.20 | Do you accept physical cash from your customers?  (If yes, please describe the process) |  |
| 4 | **Please provide the below documents (if not available, please provide reason)** |  |
| 4.1 | Customer Information   * Certificate of good standing * Certificate of incorporation * Article of association   Ownership and control structure   * Company report/Statement of Information * Declaration of ownership chart certified by customer’s chop or other declarations when necessary   Ultimate Beneficial Owner[[1]](#footnote-0)  National identity card or valid travel document or other relevant documents, data or information provided by a reliable and independent source (e.g. shareholder register, audited annual report, etc.)  Person Purporting to Act   * National identity card or valid travel document or other relevant documents, data or information provided by a reliable and independent source (e.g. shareholder register, audited annual report, etc.)   Others   * Audited Financial Statements (Last 3 years) * Internal Audit Reports (Last 3 years) |  |

| Completed by: | Approved by: |
| --- | --- |
| Designation: | Designation: |
| Signature: | Signature:  Date: |

1. an individual who (a) owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation; (b) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the corporation; or (c) exercises ultimate control over the management of the corporation. [↑](#footnote-ref-0)