

Financial Institution Name:	INDUSTRIAL AND COMMERCIAL BANK OF CHINA (EUROPE), S.A.
Location:	SPAIN SUCURSAL EN ESPAÑA

Anti-Money Laundering Questionnaire

If you answer "no" to any question, additional information can be supplied at the end of the questionnaire.

I. General AML Policies, Practices and Procedures:	Yes	No
1. Is the AML compliance program approved by the FI's board or a senior committee?	Y o <input checked="" type="checkbox"/>	N o
2. Does the FI have a legal and regulatory compliance program that includes a designated officer that is responsible for coordinating and overseeing the AML framework?	Y o <input checked="" type="checkbox"/>	N o
3. Has the FI developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions?	Y o <input checked="" type="checkbox"/>	N o
4. In addition to inspections by the government supervisors/regulators, does the FI client have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis?	Y o <input checked="" type="checkbox"/>	N o
5. Does the FI have a policy prohibiting accounts/relationships with shell banks? (<i>A shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group.</i>)	Y o <input checked="" type="checkbox"/>	N o
6. Does the FI have policies to reasonably ensure that they will not conduct transactions with or on behalf of shell banks through any of its accounts or products?	Y o <input checked="" type="checkbox"/>	N o
7. Does the FI have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates?	Y o <input checked="" type="checkbox"/>	N o
8. Does the FI have record retention procedures that comply with applicable law?	Y o <input checked="" type="checkbox"/>	N o
9. Are the FI's AML policies and practices being applied to all branches and subsidiaries of the FI both in the home country and in locations outside of that jurisdiction?	Y o <input checked="" type="checkbox"/>	N o
II. Risk Assessment	Yes	No
10. Does the FI have a risk-based assessment of its customer base and their transactions?	Y o <input checked="" type="checkbox"/>	N o
11. Does the FI determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that the FI has reason to believe pose a heightened risk of illicit activities at or through the FI?	Y o <input checked="" type="checkbox"/>	N o
III. Know Your Customer, Due Diligence and Enhanced Due Diligence	Yes	No
12. Has the FI implemented processes for the identification of those customers on whose behalf it maintains or operates accounts or conducts transactions?	Y o <input checked="" type="checkbox"/>	N o

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13. Does the FI have a requirement to collect information regarding its customers' business activities?	Y <input checked="" type="checkbox"/> o	N o
14. Does the FI assess its FI customers' AML policies or practices?	Y o <input checked="" type="checkbox"/>	N o
15. Does the FI have a process to review and, where appropriate, update customer information relating to high risk client information?	Y o <input checked="" type="checkbox"/>	N o
16. Does the FI have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information?	Y o <input checked="" type="checkbox"/>	N o
17. Does the FI complete a risk-based assessment to understand the normal and expected transactions of its customers?	Y o <input checked="" type="checkbox"/>	N o
IV. Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds		Yes No
18. Does the FI have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities?	Y o <input checked="" type="checkbox"/>	N o
19. Where cash transaction reporting is mandatory, does the FI have procedures to identify transactions structured to avoid such obligations?	Y o <input checked="" type="checkbox"/>	N o
20. Does the FI screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities?	Y o <input checked="" type="checkbox"/>	N o
21. Does the FI have policies to reasonably ensure that it only operates with correspondent banks that possess licenses to operate in their countries of origin?	Y o <input checked="" type="checkbox"/>	N o
V. Transaction Monitoring		Yes No
22. Does the FI have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments such as travelers checks, money orders, etc?	Y o <input checked="" type="checkbox"/>	N o
VI. AML Training		Yes No
23. Does the FI provide AML training to relevant employees that includes: <ul style="list-style-type: none"> ▪ Identification and reporting of transactions that must be reported to government authorities. ▪ Examples of different forms of money laundering involving the FI's products and services. ▪ Internal policies to prevent money laundering. 	Y o <input checked="" type="checkbox"/> N o	
24. Does the FI retain records of its training sessions including attendance records and relevant training materials used?	Y o <input checked="" type="checkbox"/>	N o
25. Does the FI communicate new AML related laws or changes to existing AML related policies or practices to relevant employees?	Y o <input checked="" type="checkbox"/>	N o
26. Does the FI employ third parties to carry out some of the functions of the FI?	Y o	N o <input checked="" type="checkbox"/>
27. If the answer to question 26 is yes, does the FI provide AML training to relevant third parties that includes: <ul style="list-style-type: none"> ▪ Identification and reporting of transactions that must be reported to government authorities. ▪ Examples of different forms of money laundering involving the FI's products and services. ▪ Internal policies to prevent money laundering. 	Y o	N o

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Space for additional information:

(Please indicate which question the information is referring to.)

ICBC (EUROPE) S.D. BRANCH IN SPAIN

PARENT COMPANY:

INDUSTRIAL AND COMMERCIAL BANK OF CHINA
(EUROPE) S.D. (social address LUXEMBOURG)

DOMESTIC SUPERVISORS (SPAIN)

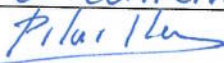
BANCO DE ESPAÑA www.bde.es

AML- SEPBLAC www.sepblac.es

PARENT COMPANY SUPERVISOR (LUXEMBOURG)

COMMISSION DE SURVEILLANCE DU SECTEUR

FINANCIER (CSSF) www.cssf.lu

Name:	PILAR HERRERO
Title:	HEAD OF COMPLIANCE DEPARTMENT
Signature:	
Date:	31 JANUARY 2013

Registros de Entidades

Datos Actuales Datos Históricos Consultas agrupadas

Registro oficial de entidades

Este procedimiento le permite consultar en detalle los datos actuales de las entidades registradas en el Banco de España que se encuentran operativas. Con establecimiento en España. Para la entidad seleccionada.

Código B.E.:	1538	
Denominación:	INDUSTRIAL AND COMMERCIAL BANK OF CHINA (EUROPE) S.A., SUCURSAL EN ESPAÑA	
Nombre abreviado:	ICBC (EUROPE)	
N.I.F.:	W0182368A	Código B.I.C. / S.W.I.F.T.: ICBKESMMXXX
Tipo de entidad:	SUCURSALES DE ENTIDADES DE CREDITO EXTRANJERAS COMUNITARIAS	
Domicilio:	PS RECOLETOS, 3 28004 MADRID	
Teléfono:	912168888	Fax: 912168866
Dom. / Dir. Internet:	WWW.ICBC.COM.ES	
Fecha de alta:	18/10/2010	Fecha de baja:
Fecha de actualización:	27/09/2012	

ACTIVIDADES QUE DESARROLLA

- 1.- RECEPCION DE DEPOSITOS O DE OTROS FONDOS REEMBOLSABLES.
- 2.- PRESTAMOS.
- 2 1.- CREDITO AL CONSUMO.
- 2 2.- CREDITO HIPOTECARIO.
- 2 3.- 'FACTORING' CON O SIN RECURSO.
- 2 4.- FINANCIACION DE TRANSACCIONES COMERCIALES (INCLUIDO EL 'FORFAITING').
- 3.- ARRENDAMIENTO FINANCIERO ('LEASING').
- 4.- SERVICIOS DE PAGO TAL Y COMO SE DEFINEN EN EL ARTICULO 1 DE LA LEY DE SERVICIOS DE PAGO
- 5.- EMISION Y GESTION DE OTROS MEDIOS DE PAGO, TALES COMO TARJETAS DE CREDITO, CHEQUES DE VIAJE O CHEQUES BANCARIOS, CUANDO ESTA ACTIVIDAD NO ESTE RECOGIDA EN LA ACTIVIDAD 4
- 6.- CONCESION DE GARANTIAS Y SUSCRIPCION DE COMPROMISOS.
- 7.- TRANSACCIONES POR CUENTA PROPIA DE LA ENTIDAD O POR CUENTA DE SU CLIENTELA.
- 7 1.- TRANSACCIONES POR CUENTA DE SU CLIENTELA.
- 7 1 A.- T. POR CTA. CLIENTELA - INSTRUMENTOS DEL MERCADO MONETARIO (CHEQUES, EFECTOS, CERTIFICADOS DE DEPOSITO, ETC.).
- 7 1 B.- T. POR CTA. CLIENTELA - MERCADOS DE CAMBIOS.
- 7 1 C.- T. POR CTA. CLIENTELA - INSTRUMENTOS FINANCIEROS A PLAZO Y OPCIONES.
- 7 1 D.- T. POR CTA. CLIENTELA - INSTRUMENTOS SOBRE DIVISAS O SOBRE TIPOS DE INTERES.
- 7 1 E.- T. POR CTA. CLIENTELA - VALORES NEGOCIABLES.

- 7 2.- TRANSACCIONES POR CUENTA PROPIA DE LA ENTIDAD.
- 7 2 A.- T. POR CTA. PROPIA - INSTRUMENTOS DEL MERCADO MONETARIO (CHEQUES, EFECTOS, CERTIFICADOS DE DEPÓSITO, ETC.).
- 7 2 B.- T. POR CTA. PROPIA - MERCADOS DE CAMBIOS.
- 7 2 C.- T. POR CTA. PROPIA - INSTRUMENTOS FINANCIEROS A PLAZO Y OPCIONES.
- 7 2 D.- T. POR CTA. PROPIA - INSTRUMENTOS SOBRE DIVISAS O SOBRE TIPOS DE INTERES.
- 7 2 E.- T. POR CTA. PROPIA - VALORES NEGOCIABLES.
- 8.- PARTICIPACION EN LAS EMISIONES DE TITULOS Y PRESTACIONES DE LOS SERVICIOS CORRESPONDIENTES.
- 9.- ASESORAMIENTO A EMPRESAS EN MATERIA DE ESTRUCTURA DEL CAPITAL, DE ESTRATEGIA INDUSTRIAL Y DE CUESTIONES AFINES, ASI COMO ASESORAMIENTO Y SERVICIOS EN EL AMBITO DE LA FUSION Y LA COMPRA DE EMPRESAS.
- 11.- GESTION O ASESORAMIENTO EN LA GESTION DE PATRIMONIOS.
- 12.- CUSTODIA DE VALORES NEGOCIABLES.
- 13.- INFORMES COMERCIALES.
- 14.- ALQUILER DE CAJAS FUERTES.

DATOS DE LA ENTIDAD MATRIZ

Entidad matriz:

INDUSTRIAL AND COMMERCIAL BANK OF CHINA (EUROPE) S.A.

Dirección:

8-10 AVENUE MARIE THERESE
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[Servicio de Atención al Cliente](#)

[Registro de Agentes](#)

[Tarifas de comisiones](#)