



SUBJECT: COMPLIANCE PROGRAMME CHECKLIST

In an effort to assure the clients of Republic Securities Limited that the Company’s Anti Money Laundering and Combating Terrorist Financing (AML/CFT) programme is being enforced, we have confirmed below that our Combating Terrorist Financing compliance requirements under the Proceeds of Crime Act Chap. 11:27, the Anti-Terrorism Act Chap. 12:07, the Financial Obligations Regulations 2010 and the related regulatory body guidelines on combating money laundering and terrorist financing (“AML criteria”) are in place.

	REPUBLIC SECURITIES LIMITED ANTI-MONEY LAUNDERING QUESTIONNAIRE	Yes	No
1	Does your institution have a written policy designed to prevent money laundering, which is in keeping with the AML criteria? If yes, kindly enclose a copy of the policy document.	×	<input type="checkbox"/>
2	Has a Compliance Officer been appointed responsible for the anti-money laundering (AML) program?	×	<input type="checkbox"/>
3	Is there an annual staff AML training programme in place?	×	<input type="checkbox"/>
4	Are your AML procedures documented, ensuring compliance with AML regulations? If yes, kindly enclose a copy of the AML procedures document.	×	<input type="checkbox"/>
5	Does the institution conduct an annual internal audit that includes a review of the Compliance Programme and AML policies and procedures?	×	<input type="checkbox"/>
6	Do you record customer information and retain all records for a period of 5 years or more?	×	<input type="checkbox"/>
7	Do you verify the identity of the customer's and retain documentary evidence of same?	×	<input type="checkbox"/>
8	Do you have a “Know Your Customer” programme that is in keeping with the AML criteria?	×	<input type="checkbox"/>
9	Do you report suspicious transactions?	×	<input type="checkbox"/>
10	Do you log and file records of AML issues raised?	×	<input type="checkbox"/>

Respectfully Submitted,

GODFREY GOSEIN
CHIEF EXECUTIVE OFFICER