

Anti-Money Laundering Questionnaire

GENERAL INFORMATION AND OWNERSHIP MANAGEMENT INFORMATION	
1. Full legal name	Export-Import Bank of Thailand (“EXIM Thailand”)
2. Date and Country of Incorporation; Legal Status; Banking License Type and No.	Export-Import Bank of Thailand (EXIM Thailand) is a financial institution wholly owned by the Royal Thai Government under the Ministry of Finance and Bank of Thailand’s supervision. EXIM Thailand was established and governed by the Export-Import Bank of Thailand Act B.E. 2536 (1993) which became effective on September 7 th , 1993. Therefore, EXIM Thailand is not required to have any banking license, Memorandum of Association, and Articles of Association.
3. Business address	EXIM Building 1193 Phaholyothin Road, Phayathai, Phayathai, Bangkok 10400, Thailand
4. Is Your Organization a Listed Company?	NO
5. Website Address	www.exim.go.th
6. SWIFT Code	EXTHTHBKXXX
7. Principal Banking Activities; Major Business Activities	EXIM Thailand’s principal banking activities are to provide products and services which promote and support (i) the export – import of goods or services by Thais and (ii) overseas investment by Thai investors. The products and services include short/long term financing, export credit insurance, investment insurance etc.
8. List of Board of Directors	Please see details at our website “www.exim.go.th” “About EXIM Thailand”.
9. Name and Addresses of the shareholders, holding 5 percent and over	We are wholly owned by the Royal Thai Government under the Ministry of Finance and Bank of Thailand’s supervision. Therefore, no one is the ultimate beneficial owner.
10. Name of your Regulatory authority	- The Anti-Money Laundering Office (“AMLO”) - Bank of Thailand (“BOT”)

GENERAL INFORMATION AND OWNERSHIP MANAGEMENT INFORMATION

(Continued)

11. Name and address of the external auditors of your bank?	<p>- The Anti-Money Laundering Office (“AMLO”), Address: 422 Phayathai Road, Patumwan, Bangkok, Thailand.</p> <p>- Bank of Thailand (“BOT”), Address: 273 Samsen Road, Watsamphraya, Phra Nakhon, Bangkok, Thailand.</p> <p>- Office of the Auditor General, Address: Soi Areesampan, Rama 6 Road, Bangkok, Thailand</p>
12. Number of branches, Affiliates, Subsidiaries	At the present, EXIM Thailand has 9 domestic branches. We do not have an overseas branch/subsidiary, but we have 3 overseas representative offices in Yangon (Myanmar), Vientiane (Laos) and Phnom Penh (Cambodia). Further details can be obtained from our website.
13. Contact details of Compliance officer	Name: Ms. Khemjariya Teerapong Title: First Vice President , Office of Compliance Address: EXIM Building 1193 Phaholyothin Road, Phayathai, Phayathai, Bangkok 10400, Thailand. Phone no: (662)-271-3700 ext. 1201 Fax no: (662)-617-1780 E-mail: khemjariyat@exim.go.th

AML POLICIES, PRACTICES AND PROCEDURES

1. Is money laundering a criminal offence in your country?	YES
2. Are there specific laws and/ or regulations in place covering AML?	YES
3. Do the Laws and regulations in jurisdiction prohibit:	
a) Opening or maintenance of Anonymous or Numbered accounts?	YES
b) Conducting business with Shell Bank?	YES
4. Does regulatory body oversee anti money laundering arrangements?	YES
5. Does your bank have written policies and procedures to combat money laundering and terrorist financing and the proliferation of weapons of mass destructions, including the identification of customers and confirming the legitimacy of their business?	YES

AML POLICIES, PRACTICES AND PROCEDURES

(Continued)

Are these policies and procedures sufficient to meet the AML/CFT/WMD regulations and international best practice guideline?		YES
6. Does your bank's AML/CFT/WMD compliance program require approval of the board or a senior committee thereof?		YES
7. Does your bank have an audit and compliance function to monitor and review the effectiveness of AML/CFT/WMD policies and procedures?		YES
8. Does your bank have policies covering relationships with politically exposed persons, their family and close associates?		YES
9. Does your bank maintain a complete record of customers and account transactions history, correspondence etc.		YES
10. What is the specified period of retention?	Not less than 10 years after the termination of relationship or closing the account.	
11. Does your bank KYC process extend to relationships with other Banks?		YES
12. Does your bank comply with the FATF recommendations?		YES
13. Are the AML/CFT/WMD policies applicable to your head office and domestic branches?		YES
<p>How are the policies and procedures communicated in the bank? When there is any update or change in laws or relevant regulations, the policies and procedures will be published in internal online system and also communicated in our classroom training annually.</p>		
14. Has your bank been subject to any investigation, indictment, conviction or civil enforcement action related to money laundering and terrorism financing and the proliferation of weapons of mass destructions in the past five years?		NO

AML POLICIES, PRACTICES AND PROCEDURES

(Continued)

15. Does your bank allow direct use of its correspondent accounts by its customers to transact business on their behalf (payable through account services)?

NO

MONITORING AND REPORTING OF SUSPICIOUS TRANSACTIONS

1. Does your bank have an established method of reporting suspicious activities/ transactions to the appropriate regulators/ laws enforcements agency?

Yes, we report to AMLO for the following transactions as required by the law: transaction that involves money equivalent to or more than Thai baht two million; transaction that involves asset equivalent to or more than Thai baht five million; transaction that is considered suspicious i.e. transaction that conducts to avoid the AML/CFT/WMD regulations or connect with the predicate offense or terrorist financing offence etc. and wire transfer transaction that equivalent to or more than Thai baht seven hundred thousand.

2. Does your bank screen customers/ transactions against lists administered by United Nations, HM, OFAC or any International organization or local authority in your country of sanctioned countries / Entities/Individuals?

YES, we have AML/CFT/WMD policies to refuse the relationship as required by UN sanction List, Thailand list and other high risk lists such as OFAC, HM, Dow Jones & PEPs etc.

<p>3. Do transaction monitoring systems are in place in your organization?</p> <p>a) To detect the suspicious transactions</p> <p>b) To screen the sanctioned / negative entities/Names</p>	<p>Yes.</p> <p>a) We use the system to extract swift transaction to monitor the scenario that considers to be risk e.g. large amount transaction, money transfer destination is different from purchase order.</p> <p>b) We collect the name of customers and related parties in the system and automatically run the screening batch against sanction lists daily.</p>
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MONITORING AND REPORTING OF SUSPICIOUS TRANSACTIONS
(Continued)

<p>4. Does your bank have a mechanism to detect suspicious or abnormal transaction activities and procedures for reporting them?</p>	<p>YES</p>
<p>5. Does your bank pay particular attention when continuing relationships with correspondent banks located in jurisdictions that have poor KYC standards or have been identifies by Financial Action Task Force as being “ non cooperative” in the fight against money laundering?</p>	<p>YES</p>

ANTI-BRIBERY AND CORRUPTION PROGRAM

The details are as follows : Exim Thailand has a regulation on conflict of Interest B.E. 2559 (2016) and Anti-corruption Policy and procedures complying with Organic Act on Counter Corruption B.E.2542 (1999) and Notification of the National Anti-Corruption Commission (NCC Commission) Concerning the Provisions of the acceptance of property or any other benefit on ethical basis by State officials B.E.2543 (2000). These principles include a strict prohibition regarding corruption and bribery. Moreover, the regulation, Policy and procedures communicated to staff annually are also a part of the training programs.

TRAINING PROGRAM

1. Does your bank have an employee training program to educate employees about combating money laundering and terrorist financing including the proliferation of weapons of mass destruction and to assist them in identifying suspicious activities?	YES
2. Does your bank retain records of its training sessions including attendance records and relevant training materials used?	YES
3. Does your bank have policies to communicate new AML/CFT/WMD laws or changes to existing AML/CFT/WMD policies or practices to relevant employees?	YES

TRAINING PROGRAM
(Continued)

4. Does your bank employ agents to carry out some of the functions of FI?	No
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For further details, please visit :

- www.exim.go.th "About EXIM Thailand" for other relevant information.
- www.exim.go.th/en/about_exim/Compliance.aspx

I, the undersigned, confirm the validity and accuracy of the information given above.



Ms. Khemjariya Teerapong
First Vice President
Office of Compliance