

## Questions for DNFBPs

1. As DNFBPs are you aware about your statutory obligations under the Cabinet Decision No. (10) of 2019 Concerning the Implementing Regulation of Decree Law No. (20) of 2018 on Anti-Money Laundering and Combating the Financing of Terrorism and Illegal Organisations and Guidance on Targeted Financial Sanctions.  
 Yes  No
2. Are you registered under the GoAML system?  
 Yes  No

**If the response to the above questions is "Yes", please fill the complete form**

3. Which country(ies) do you operate from?  
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4. Could you please explain, how the obligation of identifying the Source of funds of cash customer is fulfilled.  
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5. Do you conduct a regular independent Internal / external audit to validate the company's adherence to its obligations under the UAE AML law and cabinet decision.  
 Yes  No
6. Who are the external auditors of your entity?  
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7. Do you perform Customer Due Diligence (CDD)?  
 Yes  No
8. Do you report suspicious transaction when identified?  
 Yes  No

### TFS Notification

Please indicate how the entity receives notifications of updates on sanctioned listed entities or individuals:

- I Registered with UAEIEC .....  
Via third party providers (e.g. World - Check) .....  
Other (Please specify) .....
- II Does the entity check the relevant UN/UAE dedicated websites other than above notification for updates to a sanctions list?  
 Yes  No

### Screening Process

- III Is the screening process conducted on all database including buyers and suppliers ?  
 Yes  No
- IV If your buyers include corporate/entity, do you conduct due diligence on such corporate/entity buyers to identify their beneficial owners as per the UAE AML Law & Regulations?  
 Yes  No
- V Are beneficial owners of your corporate customers checked against the UN designated persons lists for terrorist financing / proliferation financing and UAE domestic terrorist designated persons list?  
 Yes  No

### Record Keeping

- VI Does the entity comply with records Keeping regulations?  
 Yes  No