

Financial Institution Name: Alianza Valores Comisionista de Bolsa S.A.

Location: Av. Cra. 15 # 100 – 43 Bogotá - Colombia

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:	<u>Yes</u>	<u>No</u>
1. Is the AML compliance program approved by the FI's board or a senior committee?	Y X	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 X	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 X	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 X	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 X	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 X	N o
7. Does the FI have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates?	Y X	N o
8. Does the FI have record retention procedures that comply with applicable law?	Y X	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 X	N o
II. Risk Assessment	<u>Yes</u>	<u>No</u>
10. Does the FI have a risk-based assessment of its customer base and their transactions?	Y X	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 X	N o
III. Know Your Customer, Due Diligence and Enhanced Due Diligence	<u>Yes</u>	<u>No</u>
12. Has the FI implemented processes for the identification of those customers on whose behalf it maintains or operates accounts or conducts transactions?	Y X	N o


13. Does the FI have a requirement to collect information regarding its customers' business activities?	Y X	N o
14. Does the FI assess its FI customers' AML policies or practices?	Y X	N o
15. Does the FI have a process to review and, where appropriate, update customer information relating to high risk client information?	Y X	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 X	N o
17. Does the FI complete a risk-based assessment to understand the normal and expected transactions of its customers?	Y X	N o
IV. Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds	<u>Yes</u>	<u>No</u>
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 X	N o
19. Where cash transaction reporting is mandatory, does the FI have procedures to identify transactions structured to avoid such obligations?	Y X	N o
20. Does the FI screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities?	Y X	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 X	N o
V. Transaction Monitoring	<u>Yes</u>	<u>No</u>
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 X	N o
VI. AML Training	<u>Yes</u>	<u>No</u>
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 X	N o
24. Does the FI retain records of its training sessions including attendance records and relevant training materials used?	Y X	N o
25. Does the FI communicate new AML related laws or changes to existing AML related policies or practices to relevant employees?	Y X	N o
26. Does the FI employ third parties to carry out some of the functions of the FI?	Y o	N X
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/A	N o N/A

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Space for additional information:

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

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Name: Raúl Carrascal Claro
Title: Compliance Officer
Signature: 
Date: February 15, 2017

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