

# QUESTIONNAIRE

## Section I – General Information

Legal name	Raiffeisenverband Salzburg eGen	
Legal form	Genossenschaft / Cooperative	
Principal place of business	Salzburg, Austria	
Date established	01.10.1905	
Registered at	Schwarzstr. 13-15, A-5020 Salzburg, Austria, No. 38219f	Place of your registration and registration number if applicable.
Banking licence	11.08.2003, Finanzmarktaufsicht (FMA), No. GZ 290360/11 FMA I/2/03	Please state the issuing date, the issuing authority and the number of your banking licence if applicable.
Tax Identification No.	ATU 33979503	If applicable, only
Listed on	-	Please state the exchanges where you are listed (the major exchange is sufficient).
Website	www.rvs.at	Please state your internet address.

## Section II – Ownership & Management Information

Ownership details/ shareholders	Cooperative structure, 180 owners, none owning more than 10%	
Members of the Board of Managing Directors	See annual report attached	
Members of the Supervisory Board	See annual report attached	
Do you publish your latest financial statement and equal information?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> website:	Please state the source of information or attach the latest financial statement and equal information.  www.rvs.at
Do you publish your Director's dealings?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> website: n.a., as not publically listed !	Please state the source of information if applicable.
Does your institution have a Governance Code?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> website:	Please state the source of information if applicable.

*h*

**Section III**  
**Prevention of Money Laundering and Combating Terrorist Financing**

**Sub-Section A – General Requirements**

Is your good institution supervised by a national authority?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Please state the supervisory authority: Finanzmarktaufsicht (FMA)
Is the supervision carried out with special regard to the prevention of money laundering and combating terrorist financing?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is money laundering considered as a crime in your legislation?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is terrorist financing considered as a crime in your legislation?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Do you comply with the recommendations of the FATF or the European Union (EU) or with equal standards?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are you audited in terms of testing the adequacy of your anti-money laundering procedures and policies by internal audit on a regular basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are you audited in terms of testing the adequacy of your anti-money laundering procedures and policies by external audit on a regular basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>External Auditor:</u> FMA, Austrian Raiffeisen Association

**Sub-Section B – Internal Measures I**

Is a person responsible for anti-money laundering arrangements appointed by your good institution?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						
<ul style="list-style-type: none"> <li>• Please state the contact details:             <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 40%;">○ full name</td> <td>Gregor Schober</td> </tr> <tr> <td>○ address</td> <td>Schwarzstr. 13-15, A-5020 Salzburg</td> </tr> <tr> <td>○ e-mail</td> <td>gregor.schober@rvs.at</td> </tr> </table> </li> </ul>		○ full name	Gregor Schober	○ address	Schwarzstr. 13-15, A-5020 Salzburg	○ e-mail	gregor.schober@rvs.at
○ full name	Gregor Schober						
○ address	Schwarzstr. 13-15, A-5020 Salzburg						
○ e-mail	gregor.schober@rvs.at						
Do you have account opening procedures (customer acceptance policy) in place?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						
Do you have internal measures/ policies for the prevention of money laundering and terrorist financing in place?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						
<ul style="list-style-type: none"> <li>• Is the compliance with the measures/ policies checked regularly by             <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 70%;">○ Internal Audit?</td> <td> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </td> </tr> <tr> <td>○ External Audit?</td> <td> <input checked="" type="checkbox"/> Yes  <input type="checkbox"/> No               </td> </tr> </table> </li> </ul>		○ Internal Audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	○ External Audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
○ Internal Audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						
○ External Audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						

u

<b>Sub-Section B – Internal Measures II</b>		
Do you have written anti-money laundering procedures and policies which include at least:		
• the identification of the true identity of all customers prior to establishing a business relationship?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
• the verification of beneficial owners of funds?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
• staff training in terms of AML which is carried out on a regular basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
• an employee training program to educate employees in the ways of preventing money laundering transactions and to assist them in identifying suspicious transactions, which is carried out on a regular basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Do your regulations/ directives require the recognition of the true identity of customers and the origin of their funds?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is your customer identification program designed to obtain and verify information regarding your customers true identity, source of funds, economic activities and the nature of anticipated transactional activities?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is your customer identification program designed on a risk approach requiring enhanced due diligence on the appropriate risk level for countries/ territories or special customer groups (e.g. PEPs)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is your monitoring program designed to facilitate the identification of suspicious transactional activities?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Do you have implemented a testing system that is designed to assess your compliance with international anti-money laundering and anti-terrorist financing policies, regulations and the relevant legislation?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Are your policies and directives applicable for all branches and subsidiaries at least as a minimum standard?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Sub-Section C – Others</b>		
Has an USA PATRIOT Act Certification (as well for Correspondent banks) been provided by your good institution?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Please state the issuing date and the internet source if available: 16.02.17, <a href="http://www.rvs.at">www.rvs.at</a>
Has an USA PATRIOT Act Re-Certification (as well for Correspondent banks) been provided by your good institution?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Please state the issuing date and the internet source if available:
Are you able to confirm that you do not provide any banking services to "shell" banks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	A shell bank is generally defined as an entity that does not maintain a physical presence.

**We hereby confirm that the statements given above are true and correct:**

Salzburg, 16.02.17  
Place & Date

  
  
 Stamp & Signature of Financial Institution  
 Schwarzstr. 13-15, 5020 Salzburg, Austria  
 Telefon +43 (0)662 8886 0  
 Fax +43 (0)662 8886 13809  
 SWIFT RVSAAT2S

*h*