

SCA AML/CFT Survey
Annual Reporting Cycle: 2020

Reporting Period:

Entity Name:	
License #:	
MLRO/CRO (Name)	<i>(name)</i>
MLRO/CRO (Mobile Number)	<i>(mobile number)</i>
MLRO/CRO (Email Address)	<i>(email address)</i>
Preparer (Name):	<i>(name)</i>
Preparer (Position):	<i>(position)</i>
Preparer (Mobile):	<i>(mobile number)</i>
Preparer (Email Address):	<i>(email address)</i>
Approved by (Name):	<i>(senior management name)</i>
Approved by (Position):	<i>(senior management position)</i>

Sub-Category	Question	Description
Client Summary	1	Total number of clients
	2	Total number of transactions
	3	Total value of funds transferred
	4	Total number of AUM of clients (for UAE funds and accounts)
	5	Total number of Active Accounts (accounts for SCA licensed activity only)
	6	Total number of Dormant Accounts (accounts for SCA licensed activity only)
	7	Total number of clients of financial services in countries without reporting entity physical establishment, by country in which financial services are provided
Clients, Natural Persons, Nationals	8	Total number of national clients, Natural Persons
	9	Total number of transactions - National Clients, Natural Persons
	10	Total value of funds transferred - National Clients, Natural Persons
	11	Total value of AUM - National Clients, Natural Persons
Clients, Natural Persons, Residents that are not Nationals	12	Total number of resident clients, Natural Persons that are not Nationals
	13	Total number of transactions, Natural Persons that are not Nationals
	14	Total value of funds transferred, Natural Persons that are not Nationals
	15	Total value of AUM, Natural Persons that are not Nationals
Clients, Natural Persons, Non-Residents	16	Total number of non-resident clients, natural persons
	17	Total number of transactions, Non-Resident Natural Persons
	18	Total value of funds transferred, Non-Resident Natural Persons
	19	Total value of AUM, Non-Resident Natural Persons

Legal Persons, Corporates, Resident	20	Total number of Resident Legal Persons
	21	Total number of transactions by Legal Persons
	22	Total value of funds transferred by Legal Persons
	23	Total value of Legal Person AUM
Legal Persons, Corporates, Non-Resident	24	Total number of Non-Resident Legal Persons
	25	Total number of transactions by Legal Persons - Non-Resident
	26	Total value of funds transferred by Legal Persons - Non-Resident
	27	Total value of AUM - Legal Persons, Non-Resident
Trusts & Legal Arrangements, Resident	28	Total number of Legal Arrangements
	29	Total number of Legal Arrangement transactions
	30	Total value of Legal Arrangement funds transferred
	31	Total value of Legal Arrangement AUM
Trusts & Legal Arrangements, Non-Resident	32	Total number of Legal Arrangements, Non-resident
	33	Total number of Legal Arrangement transactions, Non-resident
	34	Total value of Legal Arrangement funds transferred, Non-resident
	35	Total value of Legal Arrangement AUM, Non-resident
Government / Public Sector, Domestic	36	Total number of Government customers
	37	Total number of Government transactions
	38	Total value of Government funds transferred
	39	Total value of AUM - GOV
Government / Public Sector, Foreign	40	Total number of customers - foreign Government
	41	Total number of transactions - foreign Government
	42	Total value of funds transferred - foreign Government
	43	Total value of AUM - foreign Government
Financial Institutions, Resident	44	Total number of FIs
	45	Total number of transactions
	46	Total value of funds transferred
	47	Total value of AUM - FI's
	48	Total number of Financial Institutions - Banks
	49	Total number of transactions - Banks
	50	Total value of funds transferred - Banks
	51	Total value of AUM - Banks
	52	Total number of Financial Institutions - MVTS Providers
	53	Total number of transactions - MVTS Providers
	54	Total value of funds transferred - MVTS Providers
	55	Total value of AUM - MVTS Providers
	56	Total number of Financial Institutions - Insurance Companies
	57	Total number of transactions - Insurance Companies
	58	Total value of funds transferred - Insurance Companies
	59	Total value of AUM - Insurance Companies

	60	Total number of Financial Institutions - Securities Companies (SCA Licensed)
	61	Total number of transactions - Securities Companies (SCA Licensed)
	62	Total value of funds transferred - Securities Companies (SCA Licensed)
	63	Total value of AUM - Securities Companies (SCA Licensed)
	64	Total number of Financial Institutions - Other FIs not mentioned above
	65	Total number of transactions - Other FIs not mentioned above
	66	Total value of funds transferred - Other FIs not mentioned above
	67	Total value of AUM - Other FIs not mentioned above
Financial Institutions, Non-Resident	68	Total number of Financial Institutions - Banks
	69	Total number of transactions - Banks
	70	Total value of funds transferred - Banks
	71	Total value of AUM - Banks
	72	Total number of Financial Institutions - MVTS Providers
	73	Total number of transactions - MVTS Providers
	74	Total value of funds transferred - MVTS Providers
	75	Total value of AUM - MVTS Providers
	76	Total number of Financial Institutions - Insurance Companies
	77	Total number of transactions - Insurance Companies
	78	Total value of funds transferred - Insurance Companies
	79	Total value of AUM - Insurance Companies
	80	Total number of Financial Institutions - Securities Companies
	81	Total number of transactions - Securities Companies
	82	Total value of funds transferred - Securities Companies
	83	Total value of AUM - Securities Companies
84	Total number of Financial Institutions - Other FIs not mentioned above	
85	Total number of transactions - Other FIs not mentioned above	
86	Total value of funds transferred - Other FIs not mentioned above	
87	Total value of AUM - Other FIs not mentioned above	
Qualified investors	88	Total number of clients that are Qualified Investors
	89	Total number of transactions - Qualified Investors
	90	Total value of transactions - Qualified Investors
	91	Total value of AUM - Qualified Investors
Non-Profit Organizations	92	Total number of NPOs - Domestic
	93	Total number of transactions - NPOs, Domestic
	94	Total value of funds transferred - NPOs, Domestic
	95	Total value of AUM - NPOs, Domestic
	96	Total number of NPOs - Foreign
	97	Total number of transactions - NPOs, Foreign

	98	Total value of funds transferred - NPOs, Foreign
	99	Total value of AUM - NPOs, Foreign
DNFBPs Real Estate Agents, Resident	100	Total number of Real Estate Agents, Resident
	101	Total number of transactions - Real Estate Agents, Resident
	102	Total value of funds transferred - Real Estate Agents, Resident
	103	Total value of AUM - Real Estate Agents, Resident
DNFBPs Real Estate Agents, Non-Resident	104	Total number of Real Estate Agents - Non-Resident
	105	Total number of transactions - Real Estate Agents, Non-Resident
	106	Total value of funds transferred - Real Estate Agents, Non-Resident
	107	Total value of AUM - Real Estate Agents, Non-Resident
DNFBPs Lawyers and other Legal Prof., Resident	108	Total number of Lawyers & other Legal Professions, Resident
	109	Total number of transactions - Legal, Resident
	110	Total value of funds transferred - Legal, Resident
	111	Total value of AUM - Legal, Resident
DNFBPs Lawyers and other Legal Prof., Non-Resident	112	Total number of Lawyers & other Legal Professions, Non-Resident
	113	Total number of transactions - Legal, Non-Resident
	114	Total value of funds transferred - Legal, Non-Resident
	115	Total value of AUM - Legal, Non-Resident
DNFBPs Dealers of Precious Metals & Stones, Resident	116	Total number of DPMS
	117	Total number of transactions - DPMS, Residents
	118	Total value of funds transferred - DPMS, Residents
	119	Total value of AUM - DPMS, Residents
DNFBPs Dealers of Precious Metals & Stones, Non-Resident	120	Total number of DPMS, Non-Residents
	121	Total number of transactions - DPMS, Non-Residents
	122	Total value of funds transferred - DPMS, Non-Residents
	123	Total value of AUM - DPMS, Non-Residents
DNFBPs Trust and Company Service Providers, Resident	124	Total number of TCSPs, Resident
	125	Total number of transactions - TCSPs, Resident
	126	Total value of transactions - TCSPs, Resident
	127	Total value of AUM - TCSPs, Resident
DNFBPs Trust and Company Service Providers, Non-Resident	128	Total number of TCSPs, Non-Resident
	129	Total number of transactions - TCSPs, Non-Resident
	130	Total value of transactions - TCSPs, Non-Resident
	131	Total value of AUM - TCSPs, Non-Resident
DNFBPs Auditors / Accountants, Residents	132	Total number of Auditors / Accountants, Residents
	133	Total number of transactions - Auditors / Accountants, Residents
	134	Total value of funds transferred - Auditors / Accountants, Residents
	135	Total value of AUM - Auditors / Accountants, Residents
DNFBPs Auditors /	136	Total number of Auditors / Accountants, Non-Residents
	137	Total number of transactions, - Auditors / Accountants Non-Residents

Accountants, Non-Residents	138	Total value of funds transferred - Auditors / Accountants Non-Residents
	139	Total value of AUM - Auditors / Accountants, Non-Residents
Other DNFBP types, residents	140	Total number of DNFBPs - Other, Resident to specify
	141	Total number of transactions, DNFBPs - Other, Resident
	142	Total value of funds transferred, DNFBPs - Other, Resident
	143	Total value of AUM, DNFBPs - Other, Resident
Other DNFBP types, Non-residents	144	Total number of DNFBPs - Other, Non-Resident to specify
	145	Total number of transactions, DNFBPs - Other, Non-Resident
	146	Total value of funds transferred, DNFBPs - Other, Non-Resident
	147	Total value of AUM, DNFBPs - Other, Non-Resident
Politically Exposed Persons	148	Total number of PEPs
	149	Total number of PEPs Employed by International Organizations
	150	Total number of PEP, Residents
	151	Total number of transactions - PEP, Residents
	152	Total value of funds transferred - PEP, Residents
	153	Total value of AUM - PEPs, Residents
	154	Total number of PEP, Non-Residents
	155	Total number of transactions - PEP, Non-Residents
	156	Total value of funds transferred - PEP, Non-Residents
	157	Total value of AUM - PEPs, Non-Residents
158	Number of Beneficial Owners that are PEPs (PEP nationality)	
Complex Ownership Structure	159	Number of clients with complex ownership structure (beneficial ownership arrangements are complex)
	160	Total number of transactions by clients with complex ownership structure
	161	Total value of funds transferred by clients with complex ownership structure
	162	Total value of AUM by clients with complex ownership structure
Beneficial Owners	163	Number of Beneficial Owners (country breakdown by nationality)
Nominee Shareholders / Directors	164	Number of clients with Nominee Shareholders / Directors
	165	Total number of transactions by clients with Nominee Shareholders / Directors
	166	Total value of funds transferred by clients with Nominee Shareholders / Directors
	167	Total value of AUM - Clients with Nominee Shareholders / Directors
Bearer Shares	168	Number of clients that are Holders of Bearer Shares or Financial Instruments
	169	Total number of transactions - Holders of Bearer Shares or Financial Instruments
	170	Total value of funds transferred - Holders of Bearer Shares or Financial Instruments
	171	Total value of AUM - Holders of Bearer Shares or Financial Instruments
Special Purpose Vehicles	172	Number of Customers that are Special Purpose Vehicles
	173	Total number of transactions, Customers that are Special Purpose Vehicles
	174	Total value of funds transferred, Customers that are Special Purpose Vehicles
	175	Total value of AUM, Customers that are Special Purpose Vehicles

3rd Parties (persons on whose behalf the third party is acting)	176	Number of Persons on whose behalf the Third Party is acting
	177	Number of transactions by Persons on whose behalf the Third Party is acting
	178	Total value of funds transferred - Persons on whose behalf the Third Party is acting
	179	Total value of AUM - Persons on whose behalf the Third Party is acting
Higher Risk Business	180	Number of clients engaged in Virtual Assets
	181	Number of transactions by clients engaged in Virtual Assets
	182	Total value of funds transferred by clients engaged in Virtual Assets
	183	Total value of AUM - Clients Engaged in Virtual Assets
	184	Number of clients engaged in Casino, Gambling activities
	185	Number of transactions by clients engaged in Gambling
	186	Total value of funds transferred by clients engaged in Gambling
	187	Total value of AUM - Gambling
	188	Number of clients engaged in Anonymous Prepaid Cards / Cards with high CDD Threshold (gift cards / similar type excluded)
	189	Number of transactions by clients engaged in Anonymous Prepaid Cards / Cards with high CDD Threshold (gift cards / similar type excluded)
	190	Total value of funds transferred by clients engaged in Anonymous Prepaid Cards / Cards with high CDD Threshold (gift cards / similar type excluded)
	191	Total value of AUM - Anonymous Prepaid Cards / Cards with high CDD Threshold (gift cards / similar type excluded)
	192	Number of clients engaged in Art and Antiques
	193	Number of transactions by clients engaged in Art and Antiques
	194	Total value of funds transferred by clients engaged in Art and Antiques
	195	Total value of AUM - Art and Antiques
	196	Number of clients engaged in Defense / Arms
	197	Number of transactions by clients engaged in Defense / Arms
	198	Total value of funds transferred by clients engaged in Defense / Arms
	199	Total value of AUM
	200	Number of clients engaged in Import-Export
	201	Number of transactions by clients engaged in Import-Export
	202	Total value of funds transferred by clients engaged in Import-Export
	203	Total value of AUM - Import-Export
204	Number of clients engaged in Construction / Real Estate Development	
205	Number of transactions by clients engaged in Construction / Real Estate Development	
206	Total value of funds transferred by clients engaged in Construction / Real Estate Development	
207	Total value of AUM	
208	Number of clients engaged in Oil & Gas	
209	Number of transactions by clients engaged in Oil & Gas	
210	Total value of funds transferred by clients engaged in Oil & Gas	
211	Total value of AUM	
212	Number of clients engaged in dealing High Value Goods	

	213	Number of transactions by clients engaged in dealing High Value Goods
	214	Total value of funds transferred by clients engaged in dealing High Value Goods
	215	Total value of AUM
	216	Number of clients engaged cash intensive business such as bars, restaurants
	217	Number of transactions by clients engaged in cash intensive business such as bars, restaurants
	218	Total value of funds transferred by clients engaged in cash intensive business such as bars, restaurants
	219	Total value of AUM
	220	Number of clients engaged in Alcohol stores
	221	Number of transactions by clients engaged in Alcohol stores
	222	Total value of funds transferred by clients engaged in Alcohol stores
	223	Total value of AUM
	224	Number of clients engaged in dealing Luxury Vehicles
	225	Number of transactions by clients engaged in dealing Luxury Vehicles
	226	Total value of funds transferred by clients engaged in dealing Luxury Vehicles
	227	Total value of AUM - Luxury Vehicles
	228	Number of clients engaged in Monetary Intermediaries (unregulated)
	229	Number of transactions by clients engaged in Monetary Intermediaries (unregulated)
	230	Total value of funds transferred by clients engaged in Monetary Intermediaries (unregulated)
	231	Total value of AUM - Monetary Intermediaries (unregulated)
	232	Number of clients engaged in Auction Houses
	233	Number of transactions by clients engaged in Auction Houses
	234	Total value of funds transferred by clients engaged in Auction Houses
	235	Total value of AUM - Auction Houses
All SCA Activities Transactions	236	Total number of transactions, incoming funds
	237	Total value of transactions, incoming funds
	238	Total number of transactions, payments out
	239	Total value of transactions, payments out
Securities Types of Business	240	Securities Reporting Entity type of business or service: Exchanges - Platform to trade shares & bonds (ADX - DFM)
	241	Securities Reporting Entity type of business or service: Exchanges - Platform to trade futures and options contracts on commodities and currencies (DGCX)
	242	Securities Reporting Entity type of business or service: Central Clearing - Commodities
	243	Securities Reporting Entity type of business or service: Central Clearing - Securities
	244	Securities Reporting Entity type of business or service: Securities Brokerage - Trading
	245	Securities Reporting Entity type of business or service: Securities Brokerage - Clearing
	246	Securities Reporting Entity type of business or service: Commodity Brokerage - Trading
	247	Securities Reporting Entity type of business or service: Commodity Brokerage - Clearing
	248	Securities Reporting Entity type of business or service: Financial Consultation and Financial Analysis

	249	Securities Reporting Entity type of business or service: Custody of Securities
	250	Securities Reporting Entity type of business or service: Financial Advisor - IPO Manager
	251	Securities Reporting Entity type of business or service: Listing Advisor
	252	Securities Reporting Entity type of business or service: Covered Warrants Issuer
	253	Securities Reporting Entity type of business or service: Investment Management Company - Portfolio Management
	254	Securities Reporting Entity type of business or service: Investment Management Company - Fund Management
	255	Securities Reporting Entity type of business or service: Fund Administration
	256	Securities Reporting Entity type of business or service: Management Company - Mutual Fund - Establishing and managing fund
	257	Securities Reporting Entity type of business or service: Management Company - Mutual Fund - Establishing and managing fund & Self-Promotor\Distributor
	258	Securities Reporting Entity type of business or service: Central Depository
	259	Securities Reporting Entity type of business or service: General Clearing Member
	260	Securities Reporting Entity type of business or service: Depository Bank
	261	Securities Reporting Entity type of business or service: Agent of Depository Bank
	262	Services provided to funds - Number of funds - Investment Business Provided to Regulated UAE Fund(s)
	263	Services provided to funds - Number of funds - Sec. Investment Business Provided to UnRegulated UAE Fund(s)
	264	Services provided to funds - Number of funds - Sec. Investment Business Provided to Non-UAE Regulated Fund(s)
	265	Services provided to funds - Number of funds - Sec. Investment Business Provided to Non-UAE Unregulsted Fund(s)
	266	Number of securities listed, by jurisdiction, on UAE's exchanges
Cash Transactions	267	Number of cash transactions
	268	Total value of funds transferred
	269	Number of cash transactions exceeding 40,000 AED
	270	Total value of cash transactions over 40,000 AED
Forex	271	Total number of Clients engaged in Forex
	272	Total number of transactions - Clients Engaged in Forex
	273	Total value of funds transferred - Clients Engaged in Forex
	274	Total value of AUM - Clients Engaged in Forex
Correspondent Type Relationships	275	Number of correspondent type business relationships (applicable to custodians only)
	276	Number of transactions - correspondent type business relationships
	277	Total value of transactions - correspondent type business relationships
Forms of Payment	278	Number of transactions, Physical Cash payments
	279	Number of transactions, Cheque payments
	280	Number of transactions, Wire Transfer payments
	281	Number of transactions, Card (Debit, Credit) payments
	282	Number of transactions, Prepaid Card payments
	283	Number of transactions, Electronic banking payment orders
	284	Number of transactions, Third Party Payments

	285	Number of transactions, Virtual Currency payments
	286	Value of funds transferred, Physical Cash payments
	287	Value of funds transferred, Cheque payments
	288	Value of funds transferred, Wire Transfer payments
	289	Value of funds transferred, Card (Debit, Credit) payments
	290	Value of funds transferred, Prepaid Card payments
	291	Value of funds transferred, Electronic banking payment orders
	292	Value of funds transferred, Third Party Payments
	293	Value of funds transferred, Virtual Currency payments
Securities Traded	294	Number of transactions - Shares
	295	Total value of transactions - Shares
	296	Number of transactions - Sukuks&Bonds
	297	Total value of transactions - Sukuks&Bonds
	298	Number of transactions - Options
	299	Total value of transactions - Options
	300	Number of transactions - Futures
	301	Total value of transactions - Futures
	302	Number of transactions - Exchange Traded Funds
303	Total value of transactions - Exchange Traded Funds	
Structure	304	Total number of Branches and Subsidiaries of licensed domestic Entity
	305	If a Foreign Entity Branch, in what country is the parent undertaking?
	306	If a Foreign Entity Branch, total number of Foreign Branches and Subsidiaries
Online Platforms	307	Total clients via online platform
	308	Number of customers via online platforms Natural Persons
	309	Number of customers via online platforms Legal Persons
	310	Number of customers via online platforms Legal Arrangements
Onboarding	311	Total new clients during reporting period, Face to Face (F2F)
	312	Number of customers F2F, Natural Persons
	313	Number of customers F2F, Legal Persons
	314	Number of customers F2F, Legal Arrangements
	315	Number of customers non F2F, Natural Persons
	316	Number of customers non F2F, Legal Persons
	317	Number of customers non F2F, Legal Arrangements
	318	Total new clients during reporting period, non Face to Face
	319	Total new clients during reporting period, Natural Persons
	320	Total new clients during reporting period, Legal Persons
	321	Total new clients during reporting period, Legal Arrangement
Introduced clients	322	Number of Introducers
	323	Number of customers through Introducers, Natural Persons
	324	Number of customers through Introducers, Legal Persons

	325	Number of customers through Introducers, Legal Arrangements
Reliance on third parties for CDD purposes	326	Number of 3rd Parties the subject person relies on for CDD purposes
	327	Number of Customers during reporting period through 3rd Parties, Natural Persons
	328	Number of Customers during reporting period through 3rd Parties, Legal Persons
	329	Number of Customers during reporting period through 3rd Parties, Legal Arrangements
Rejected / Terminated Relationships or Transactions	330	Number of rejected business relationships (customers) due to ML/TF considerations
	331	Number of Terminated business relationships (customers) due to ML/TF considerations
	332	Number of blocked/rejected transactions due to ML/TF considerations
Suspicious Activity Reporting	333	Number of Suspicious Transactions and Activities identified and reported Internally to Compliance
	334	Number of STRs / SARs reported to FIU, TF Related
	335	Number of STRs / SARs reported to FIU, ML Related
	336	Number of Attempted Transactions reported to FIU
Targeted Financial Sanctions (TFS)	337	Number of Persons identified and Jurisdictions involved
	338	Value of assets frozen
	339	Number of reports made to competent authority
	340	Other actions taken, specify
SDD	341	Number of customers subjected to SDD measures
EDD for Higher Risk Clients	342	Total number of customers for which EDD measures have been applied at the start of business relationships
	343	Total number of customers for which EDD measures have been applied in the course of business relationships