

International Correspondent Bank
Questionnaire
KYC and Anti-Money Laundering

General Information

Financial Institution name: **BANCO CENTRAL DE BOLIVIA**

location: - **La Paz, Bolivia**

VAT identification number: **1016739022 (Bolivia)**

GIIN FATCA: **N/A**

Swift code: **BCEBBOLP**

official web site: **www.bcb.gob.bo**

We, the Banco Central de Bolivia declare that we respect the obligations promulgated from the AML and antiterrorism regulatory in our state and/or the GAFI recommendations.

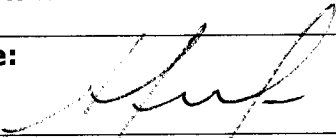
| I. General AML Policies, Practices and Procedures: | Yes | No |
|---|-----|----|
| 1. Is the AML compliance program approved by the Financial Institution's board or a senior committee? | YES | |
| 2. Does the Financial Institution have a legal and regulatory compliance program that includes a designated officer that is responsible for coordinating and overseeing the AML framework? | YES | |
| 3. Has the Financial Institution developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions? | YES | |
| 4. In addition to inspections by the government supervisors/regulators, does the Financial Institution client have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis? | YES | |
| 5. Does the Financial Institution 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> | YES | |
| 6. Does the Financial Institution 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? | YES | |
| 7. Does the Financial Institution have policies covering relationships with Politically Exposed Persons (PEP's), their family and close associates? | | NO |
| 8. Does the Financial Institution have record retention procedures that comply with applicable law? | YES | |
| 9. Are the Financial Institution's AML policies and practices being applied to all branches and subsidiaries of the Financial Institution both in the home country and in locations outside of that jurisdiction? | YES | |
| 10. Has the Financial Institution been involved in any regulatory or criminal enforcement actions resulting from violation of laws or regulations AML/CFT in the past 5 years? | | NO |

| II. Risk Assessment | | <u>Yes</u> | <u>No</u> |
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| 11. Does the Financial Institution have a risk-based assessment of its customer base and their transactions? | YES | | |
| 12. Does the Financial Institution determine the appropriate level of enhanced due diligence necessary for those categories of customers and transactions that the Financial Institution has reason to believe pose a heightened risk of illicit activities at or through the Financial Institution? | YES | | |
| III. Know Your Customer, Due Diligence and Enhanced Due Diligence | | <u>Yes</u> | <u>No</u> |
| 13. Has the Financial Institution implemented processes for the identification of those customers on whose behalf it maintains or operates accounts or conducts transactions? | YES | | |
| 14. Does the Financial Institution have a requirement to collect information regarding its customers' business activities? | YES | | |
| 15. Does the Financial Institution assess its Financial Institution customers' AML policies or practices? | | | NO |
| 16. Does the Financial Institution have a process to review and, where appropriate, update customer information relating to high risk client information? | YES | | |
| 17. Does the Financial Institution have procedures to establish a record for each new customer noting their respective identification documents and 'Know Your Customer' information? | YES | | |
| 18. Does the Financial Institution complete a risk-based assessment to understand the normal and expected transactions of its customers? | YES | | |
| IV. Reportable Transactions and Prevention and Detection of Transactions with Illegally Obtained Funds | | <u>Yes</u> | <u>No</u> |
| 19. Does the Financial Institution have policies or practices for the identification and reporting of transactions that are required to be reported to the authorities? | YES | | |
| 20. Where cash transaction reporting is mandatory, does the Financial Institution have procedures to identify transactions structured to avoid such obligations? | YES | | |
| 21. Does the Financial Institution screen customers and transactions against lists of persons, entities or countries issued by government/competent authorities? | YES | | |
| 22. Does the Financial Institution have policies to reasonably ensure that it only operates with correspondent banks that possess licenses to operate in their countries of origin? | YES | | |

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| 23. Does the Financial Institution adhere to the Wolfsberg Transparency Principles and the appropriate usage of the SWIFT MT 202/202COV and MT 205/205COV message formats? | YES | |
| V. Transaction Monitoring | Yes | No |
| 24. Does the Financial Institution have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments such as travelers checks, money orders, etc? | YES | |
| 25. Does the Financial Institution offer anonymous accounts/coded accounts or any product / service / delivery channel that poses a particular AML/CFT risk? | | NO |
| VI. AML Training | Yes | No |
| 26. Does the Financial Institution 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 Financial Institution's products and services • Internal Policies to prevent money laundering | YES | |
| 27. Does the Financial Institution retain records of its training sessions including attendance records and relevant training materials used? | YES | |
| 28. Does the Financial Institution communicate new AML related laws or changes to existing AML related policies or practices to relevant employees? | YES | |
| 29. Does the Financial Institution employ third parties to carry out some of the functions of the Financial Institution? | | NO |
| 30. If the answer to question 28 is yes, does the Financial Institution 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 Financial Institution's products and services • Internal Policies to prevent money laundering | | |

General AML Policies, Practices and Procedures, question 7: The Banco Central de Bolivia (BCB) is the Central Bank of the Plurinational State of Bolivia. It is 100% owned by the Bolivian government. As the monetary authority, the BCB, ruled by its Law N° 1670 of October 31st, 1995, pursuits the monetary and financial stability in the Plurinational State of Bolivia and it does not make commercial operations.

Know your Customer, Due Diligence and Enhanced Due Diligence, question 15: The BCB's bolivian customers are exclusively Bolivian government entities and banks. The bolivian banks are regulated and supervised by the Authority of Supervisory of the Financial System (ASFI) and the Financial Investigations Unit (UIF).

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| Name: VARINIA SUSAN TINDAL FELIPEZ |
| Title: COMPLIANCE OFFICER |
| Signature:  |
| Date: December 4, 2017 |