|  |
| --- |
| 1. **General information**
 |
|  | Institution name:  |  |
|  | Address of registered office (or address of the branch): |  |
|  | CBE number: |  |
|  | Please indicate whether your institution acts as a parent company / stand-alone institution in Belgium, or whether it operates as part (subsidiary, branch, establishment) of a group in Belgium: | Parent company / Stand-alone institution: |[ ]
|  |  | Part (subsidiary, branch, establishment) of a group: |[ ]
|  | (i) Shareholder structure of your institution **or**, if your institution is part of a group, (ii) the shareholder structure of its ultimate parent company[[1]](#footnote-1) + the percentage of shares held:  |  | *Type* | *Percentage of shares* |
|  |  | Listed:  | [ ]  |  %  |
|  |  | Private: | [ ]  |  % |
|  |  | Public: | [ ]  |  % |
|  |  | Other (please specify): | [ ]  |  % |
|  | Member of the statutory governing body (or, where appropriate, the management committee) responsible at the highest level for proper compliance with the Belgian AML/CFT legislation: | Name: |  |
|  |  | Function: |  |
|  |  | Telephone number: |  |
|  |  | E-mail address: |  |
|  | Compliance Officer:  | Name: |  |
|  |  | Telephone number:  |  |
|  |  | E-mail address: |  |
|  | Person responsible for AMLF/CFT: | Name: |  |
|  |  | Telephone number:  |  |
|  |  | E-mail address: |  |
|  | Number of FTEs employed in your institution (across departments; branches should only report the number of FTEs active in Belgium): |  |
|  | Number of FTEs employed in the compliance function (both internal and external staff members; branches should only report the number of FTEs active in Belgium): |  |
|  | Number of FTEs within the compliance function dedicated to AML/FT (both internal and external staff members; branches should only report the number of FTEs active in Belgium): |  |

|  |  |
| --- | --- |
| 1. **Geographical presence**
 | **Notes / Comments** |
| **2.A Stockbroking firms governed by Belgian law (only to be completed by stockbroking firms governed by Belgian law)** |
|  | Number of agencies in Belgium as at 31/12/2016 (total): |  |  |
|  | Branches outside Belgium but within the EU as at 31/12/2016: | Number: |  |  |
| Locations (please mention the countries where the branches are established): |  |  |
|  | Branches outside the EU as at 31/12/2016: | Number: |  |  |
| Locations (please mention the countries where the branches are established): |  |  |
|  | Subsidiaries in Belgium performing an activity in the financial sector[[2]](#footnote-2) as at 31/12/2016: | Number: |  |  |
|  | Subsidiaries outside Belgium but within the EU performing an activity in the financial sector[[3]](#footnote-3) as at 31/12/2016: | Number: |  |  |
| Locations (please mention the countries where the subsidiaries are established): |  |  |
|  | Subsidiaries outside the EU performing an activity in the financial sector[[4]](#footnote-4) as at 31/12/2016: | Number: |  |  |
| Locations (please mention the countries where the subsidiaries are established): |  |  |
|  | If your institution is part of a group, please annex a schematic representation of the group structure to this document. |
| **2.B Branches of foreign stockbroking firms (only to be completed by branches of foreign stockbroking firms)** |
|  | Number of agencies in Belgium as at 31/12/2016 (total): |  |  |
|  | If your institution is part of a group, please annex a schematic representation of the group structure to this document. |

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| 1. **Investment services and activities**
 | **Notes / Comments** |
|  | Please indicate which investment services and activities are **effectively** performed by your institution as at 31/12/2016 (activities for which your institution has received authorisation but which are not actually performed, need **not** be mentioned): | 1. reception and transmission of orders in relation to one or more financial instruments, including bringing together two or more investors, thereby bringing about a transaction between those investors; |[ ]   |
|  |  | 2. execution of orders on behalf of clients; |[ ]   |
|  |  | 3. dealing on own account; |[ ]   |
|  |  | 4. portfolio management; |[ ]   |
|  |  | 5. investment advice; |[ ]   |
|  |  | 6. underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis; |[ ]   |
|  |  | 7. placing of financial instruments without a firm commitment basis; |[ ]   |
|  |  | 8. operation of a multilateral trading facility. |[ ]   |

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| 1. **Ancillary services**
 | **Notes / Comments** |
|  | Please indicate which ancillary services are **effectively** performed by your institution as at 31/12/2016 (activities for which your institution has received authorisation but which are not actually performed, need **not** be mentioned). | 1. safekeeping and administration of financial instruments for the account of clients, including custodianship and related services such as cash/collateral management; |[ ]   |
|  |  | 2. granting credits or loans to an investor to allow him to carry out a transaction in one or more financial instruments, where the firm granting the credit or loan is involved in the transaction; |[ ]   |
|  |  | 3. advice to undertakings on capital structure, industrial strategy and related matters, as well as advice and services relating to mergers and the purchase of undertakings; |[ ]   |
|  |  | 4. foreign exchange services where these are connected to the provision of investment services; |[ ]   |
|  |  | 5. investment research and financial analysis or other forms of general recommendation relating to transactions in financial instruments; |[ ]   |
|  |  | 6. services related to underwriting; |[ ]   |
|  |  | 7. the above-mentioned investment services and activities as well as ancillary services related to the underlying value of the derivatives as referred to in Article 2, first paragraph, 1°, e), f), g) and j) of the Law of 2 August 2002 where these are connected to the provision of investment or ancillary services. |[ ]   |

|  |  |
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| 1. **Importance of the following investment services and activities**
 | **Notes / Comments** |
| Please indicate how important the following investment services and activities are to your institution: |
|  | Portfolio management |
|  | * Not applicable (activity not performed)
 |[ ]   |
|  | * Marginal importance
 |[ ]   |
|  | * Significant activity
 |[ ]   |
|  | * Core activity
 |[ ]   |
|  | Investment advice |
|  | * Not applicable (activity not performed)
 |[ ]   |
|  | * Marginal importance
 |[ ]   |
|  | * Significant activity
 |[ ]   |
|  | * Core activity
 |[ ]   |
|  | Underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis |
|  | * Not applicable (activity not performed)
 |[ ]   |
|  | * Marginal importance
 |[ ]   |
|  | * Significant activity
 |[ ]   |
|  | * Core activity
 |[ ]   |
|  | Placing of financial instruments without a firm commitment basis |
|  | * Not applicable (activity not performed)
 |[ ]   |
|  | * Marginal importance
 |[ ]   |
|  | * Significant activity
 |[ ]   |
|  | * Core activity
 |[ ]   |

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| 1. **Type of customers**
 | **Notes / Comments** |
| *Note: 'customers' refers to the holders of products (not the proxies of the accounts and/or the legal representatives of the holders of products).* |
|  | Total number of customers as at 31/12/2016: |  |  |
|  | Total number of new customers in 2016: |  |  |
|  | Breakdown of number of customers by category as at 31/12/2016: | number of natural persons: |  |  |
| number of legal persons: |  |  |
| number of trusts or other legal arrangements (without legal personality): |  |  |

|  |  |
| --- | --- |
| 1. **Geographical distribution of customers**
 | **Notes / Comments** |
|  | Number of customers who are not domiciled in Belgium or whose registered office is not situated in Belgium as at 31/12/2016: |  |  |
|  | Number of customers as referred to in 7.1 who are domiciled or have their registered office outside Belgium but within the EU: |  |  |
|  | Number of customers as referred to in 7.1 who are domiciled or have their registered office outside Belgium and outside the EU: |  |  |
|  | Number of customers as referred to in 7.1 who are domiciled or have their registered office in (i) a high-risk country, (ii) a sanctioned country or (iii), an offshore country, as included in Annex 1. |  |  |
|  | Give a breakdown of the number of customers as referred to in 5.4 per country (please add additional lines if your institution has clients who are domiciled or have their registered office in more than 5 of the countries mentioned in annex 1):  |
| *Country:* | *Number of customers:* |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

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| 1. **Breakdown of customers by risk category**
 | **Notes / Comments** |
|  | Please provide a breakdown of your customers by risk category as at 31/12/2016 (if you use another breakdown, please fill in this information in a way that most closely approximates the 3 aforementioned categories and provide further clarification in the notes): |
| * Number of 'high-risk' customers:
 |  |  |
| * Number of 'medium-risk' customers:
 |  |  |
| * Number of 'low-risk' customers:
 |  |  |

|  |  |
| --- | --- |
| 1. **Remotely identified customers**
 | **Notes / Comments** |
|  | The total number of customers identified remotely by your institution as at 31/12/2016: |  |  |
|  | The number of customers identified remotely by your institution in 2016: |  |  |

|  |  |
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| 1. **Third party business introducers**
 | **Notes / Comments** |
|  | Does your institution call on third party business introducers in order to comply with the due diligence requirements regarding new customers (identification, verification, characteristics on the nature and business purpose of the relationship)? | YES |[ ]   |
|  |  | NO |[ ]   |
|  | Please provide the total number of new customers introduced in 2016 by a third party business introducer: |  |  |
|  | Please indicate which type of third party business introducers is called on by your institution in order to introduce new customers, and indicate whether or not these third party business introducers belong to the same group as your own institution: |
|  | *Type:* | *Within the group:* | *Outside the group:* |  |
|  | Credit institutions: |[ ] [ ]   |
|  | Life insurance companies: |[ ] [ ]   |
|  | Intermediaries in banking and investment services: |[ ] [ ]   |
|  | Other (please clarify in the notes): |[ ] [ ]   |

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| 1. **Numbered accounts**
 | **Notes / Comments** |
|  | The total number of your customers that have numbered accounts or numbered contracts as at 31/12/2016: |  |  |
|  | The total number of your customers for whom your institution opened numbered accounts or with whom it concluded a numbered contract in 2016: |  |  |

|  |  |
| --- | --- |
| 1. **Occasional customers**
 | **Notes / Comments** |
|  | Number of occasional customers to which your institution provided financial services in 2016: |  |  |
|  | Please provide a breakdown of the number provided in 12.1 by risk category: |
| * Number of occasional 'high-risk' customers:
 |  |  |
| * Number of occasional 'medium-risk' customers:
 |  |  |
| * Number of occasional 'low-risk' customers:
 |  |  |
|  | Number of transactions amounting to 3,000 euros or more performed by your institution for occasional customers in 2016: |  |  |
|  | Please provide the number of transactions (and the total corresponding amount) that were performed by your institution for occasional customers in 2016 and which involved one of the countries included in Annex 1 (e.g. transfers to a bank account located in a country included in Annex 1) |
| * Number of transactions:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |

|  |  |
| --- | --- |
| 1. **Politically exposed persons (PEPs)**
 | **Notes / Comments** |
| *Note: when calculating the number of PEPs, you should not only include the number of PEP customers, but also the number of PEP agents of your customers, the number of PEP beneficial owners of your customers and the number of PEP beneficial owners of your customers' agents.*  |
|  | Please provide the following information regarding PEPs (as at 31/12/2016): |
| * Total number of PEPs in your customer base:
 |  |  |
| * + Number of PEPs – customers (holders of products)
 |  |  |
| * + Number of PEPs – customers' agents
 |  |  |
| * + Number of PEPs – UBOs (of both customers and their agents)
 |  |  |
| * Number of PEPs domiciled outside Belgium:
 |  |  |
| * Number of PEPs domiciled in a country included in Annex 1:
 |  |  |
| 1. **Ultimate beneficial owners (UBOs)**
 | **Notes / Comments** |
|  | Please provide the following information regarding the ultimate beneficial owners of your customers (as at 31/12/2016): |
| * Number of UBOs domiciled outside Belgium:
 |  |  |
| * Number of UBOs domiciled in one of the countries included in Annex 1:
 |  |  |

|  |  |
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| 1. **Refused customers**
 | **Notes / Comments** |
|  | Please provide the following information regarding persons or entities that fit into your institution's customer acceptance policy but were refused by your institution for AML/CFT related reasons in 2016 (if the figures provided by your institution only cover the refusals decided upon by the compliance function or another competent body, please clarify this in the notes): |
| * Total number of refused customers:
 |  |  |
| * + Number of refused customers – natural persons (PEPs included):
 |  |  |
| * + Number of refused customers – PEPs:
 |  |  |
| * + Number of refused customers – legal persons or other legal arrangements (trusts, etc.):
 |  |  |

|  |  |
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| 1. **Transactions**
 | **Notes / Comments** |
|  | Please provide the number of incoming payments and the total amount of the funds received by your institution in 2016 from customers for the purchase of financial instruments: |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number and the total amount of the funds as referred to in 16.1 that were paid from a foreign bank account or other type of account (from a country other than Belgium): |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number and the total amount of the funds as referred to in 16.1 that were paid from a bank account or other type of account from one of the countries included in Annex 1: |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number of incoming payments and the total amount of the fees and commissions paid to your institution in 2016 by the customers of your institution for investment advice and other investment services received: |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number and the total amount of the funds as referred to in 16.4 that were paid from a foreign bank account or other type of account: |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number and the total amount of the funds as referred to in 16.4 that were paid from a bank account or other type of account from one of the countries included in Annex 1: |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number of outgoing payments and the total amount of the proceeds from financial instruments (including selling prices) disbursed by your institution to customers in 2016: |
| * Number of disbursements:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number of outgoing payments and the total amount of the funds as referred to in 16.7, that were paid to a foreign bank account or other type of account: |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number of outgoing payments and the total amount of the funds as referred to in 16.7, that were paid to a bank account or other type of account from one of the countries included in Annex 1: |
| * Number of disbursements:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |

|  |  |
| --- | --- |
| 1. **Crowdfunding, crowdlending and/or crowd equity investment**
 | **Notes / Comments** |
|  | Does your institution provide services related to crowdfunding, crowdlending and/or crowd equity investment projects? (If so, please clarify your institution's role in these projects in the notes) | YES |[ ]   |
|  |  | NO |[ ]   |
| If you answered 'YES' to the previous question, please provide the following information regarding the crowdfunding activities: |
|  | * Number of new crowdfunding, crowdlending and/or crow equity investment projects in 2016 in which your institution provided services:
 |  |  |
|  | * Number of investors involved in the crowdfunding, crowdlending and/or crowd equity investment projects as referred to in question 17.1:
 |  |  |
|  | * Total amount of the crowdfunding, crowdlending and/or crowd equity investment projects in the context of the projects as referred to in question 17.1:
 |  |  |

|  |  |
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| 1. **Status of the financial instruments balance**
 | **Notes / Comments** |
|  | Please provide below – for the last completed financial year – the information from section XXX of the annex to the Royal Decree of 23 September 1992 on the national accounts of credit institutions, investment firms and collective investment management companies (in euros): |
| 1. Total financial instruments to be received by the institution on behalf of customers;
 |  |  |
| 1. Total financial instruments to be delivered by the institution to customers;
 |  |  |
| 1. Total financial instruments of customers received as deposit by the institution;
 |  |  |
| 1. Total financial instruments of customers given as deposit by the institution;
 |  |  |
| 1. Total financial instruments of customers received as collateral by the institution;
 |  |  |
| 1. Total financial instruments of customers given as collateral by the institution;
 |  |  |

|  |  |
| --- | --- |
| 1. **Payments made by and to unidentified third parties**
 | **Notes / Comments** |
|  | Do your institution's internal procedures allow incoming or outgoing payments to be received from or made to third-party accounts?* Payment by a third party for the purchase of financial instruments on behalf of a customer, or the payment of commissions by third parties on behalf of customers;
* Disbursements of proceeds (including selling prices) from financial instruments of a customer to third parties.
 | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If the answer to question 19.1 was **affirmative**, please provide below the number of incoming payments and the total amount of the incoming payments by unidentified third parties as referred to in 19.1. |
|  | * Number of incoming payments:
 |  |  |
|  | * Corresponding amount (in euros):
 |  |  |
|  | If the answer to question 19.1 was **affirmative**, please provide below the number of outgoing payments and the total amount of the payments to unidentified third parties as referred to in 19.1. |
|  | * Number of outgoing payments:
 |  |  |
|  | * Corresponding amount (in euros):
 |  |  |
|  | If the answer to question 19.1 was in the **negative**, does your institution also take concrete control measures to ensure that incoming or outgoing payments are only received from or made to accounts held in the name of your customers? (e.g. by verifying whether the account numbers from or to which the payments are made, correspond with the accounts provided by your customers, possibly on a sample basis?) |
|  | * Yes (please clarify these measures in the notes)
 |[ ]   |
|  | * No
 |[ ]   |

|  |  |
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| 1. **Cash**
 | **Notes / Comments** |
|  | Do your institution's internal procedures allow customers to use cash for purchasing financial instruments, for paying commissions, etc.? | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If you answered affirmatively to the previous question, please provide the amount of cash received by your institution from customers in 2016: |  |  |

|  |  |
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| 1. **Significant deposits**
 | **Notes / Comments** |
|  | Please provide the number of customers and the total amount of the payments amounting to 200,000 euros or more received by your institution in 2016 for the purchase of financial instruments on behalf of your customers: |
| * Number:
 |  |  |
| * Total amount (in euros):
 |  |  |

|  |  |
| --- | --- |
| 1. **Significant disbursements**
 | **Notes / Comments** |
|  | Please indicate below the number of proceeds from financial instruments (including selling prices) disbursed amounting to 200,000 euros or more in 2016, as well as the total amount of these disbursements: |
| * Number of payments:
 |  |  |
| * Total amount (in euros):
 |  |  |

|  |  |
| --- | --- |
| 1. **Analysis of atypical transactions**
 | **Notes / Comments** |
|  | How many atypical transactions for which an internal report was transmitted to the person responsible for AML/CFT were detected by your institution in 2016? |  |  |
|  | How many of the atypical transactions as referred to in 23.1 were detected by first-line monitoring (the staff maintaining contact with customers) and by second-line monitoring (the automatic system for the detection of atypical transactions)?  |
| * Number detected by first-line monitoring:
 |  |  |
| * Number detected by second-line monitoring:
 |  |  |
|  | What is the total number of customers covered by the reports as referred to in 23.1? |  |  |
|  | How many of the atypical reports as referred to in 23.1 pertain to: |
| * ... 'high-risk' customers:
 |  |  |
| * ... 'medium-risk' customers:
 |  |  |
| * ... 'low-risk' customers:
 |  |  |
|  | How many of the reports as referred to in 23.1 pertain to cash transactions? |  |  |
|  | How many of the reports as referred to in 23.1 were analysed in 2016 under the responsibility of the person responsible for AML/CFT in your institution?  |  |  |
|  | What was the average number of staff (expressed in FTEs) specifically tasked with analysing the aforementioned internal reports in 2016, both within the department of the person responsible for AML/CFT and in other departments, but under the direction of the person responsible of AML/CFT?  |  |  |

|  |  |
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| 1. **Funds and asset freezing**
 | **Notes / Comments** |
|  | Over the course of 2016, how many warnings were handled by your institution in relation to the implementation of financial embargos and asset freezing orders?*Note: 'warnings' should be understood to mean all possible correspondence with the lists of sanctions or embargos: both the warnings generated by your institution's automatic screening tools and the warnings detected by first-line monitoring (in case of manual screening against the lists).* |  |  |
|  | Over the course of 2016, how many notifications for asset freezing were sent by your institution to the FPS Finance – Treasury, and what was the total amount (in euros)?  |
| * Number:
 |  |  |
| * Corresponding amount:
 |  |  |

|  |  |
| --- | --- |
| 1. **Notification of suspicious transactions to the CTIF-CFI**
 | **Notes / Comments** |
|  | Over the course of 2016, how many notifications of suspicious transactions did your institution submit to the CTIF-CFI, and what was the total amount of the transactions covered by these notifications? |
| * Number:
 |  |  |
| * Corresponding amount:
 |  |  |
|  | How many of the notifications to the CTIF-CFI as referred to in 25.1 pertain to: |
| * ... 'high-risk' customers:
 |  |  |
| * ... 'medium-risk' customers:
 |  |  |
| * ... 'low-risk' customers:
 |  |  |
|  | Over the course of 2016, how many requests for information or other requests regarding AML/CFT did your institution receive concerning persons that effectively are or were your customers, their ultimate beneficial owners, their agents or their counterparties, depending on whether these requests came from: |
| * The CTIF-CFI:
 |  |  |
| * The police or the courts:
 |  |  |

|  |  |
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| 1. **Termination of the business relationship for AML/CFT related reasons**
 | **Notes / Comments** |
|  | Over the course of 2016, how many business relationships with customers were terminated by your institution for AML/CFT related reasons? |  |  |
|  | If your institution could not terminate the business relationship because of legal provisions of public policy or mandatory legal provisions, or if the termination of the business relationship would cause severe and disproportionate damage to your customer, for how many of your business relationships did your institution take other restrictive measures in 2016? |  |  |
|  | In 2016, how many of the terminations as referred to in 26.1 and the other restrictive measures as referred to in 26.2 regarding business relationships pertained to: |
| * Customers – natural persons:
 |  |  |
| * Customers – legal persons or other legal arrangements:
 |  |  |
|  | How many of the terminations as referred to in 26.1 and the other restrictive measures as referred to in 26.2 regarding business relationships with customers were the subject of a notification to the CTIF-CFI (notifications before as well as after the termination): |  |  |
|  | Please provide the total amount of assets or funds held of customers with whom the business relationship was terminated in 2016 (in euros):*Note: please provide the amount of assets or funds held at the moment of the decision to terminate the business relationship.* |  |  |
|  | In 2016, how many of the terminations as referred to in 26.1 and the other restrictive measures as referred to in 26.2 regarding business relationships pertained to: |
| * ... 'high-risk' customers:
 |  |  |
| * ... 'medium-risk' customers:
 |  |  |
| * ... 'low-risk' customers:
 |  |  |
|  | In 2016, how many of the terminations as referred to in 26.1 and the other restrictive measures as referred to in 26.2 regarding business relationships pertained to PEPs: |  |  |

1. Definition of 'group': a group of companies consisting of a parent company, its branches, its subsidiaries and the entities in which the parent company or its subsidiaries has/have a participating interest, as well as the companies related to each other within the meaning of Article 22 of Directive 2013/34/EU of the European Parliament and of the Council of 26 June 2013 on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings. [↑](#footnote-ref-1)
2. Institutions holding a legal status that places them under the supervision of the NBB or the FSMA. [↑](#footnote-ref-2)
3. Institutions holding a similar legal status as set out in footnote 2. [↑](#footnote-ref-3)
4. Institutions holding a similar legal status as set out in footnote 2. [↑](#footnote-ref-4)