|  |
| --- |
| 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 Credit institutions governed by Belgian law (only to be completed by credit institutions 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 credit institutions (only to be completed by branches of foreign credit institutions)** |
|  | Number of agencies in Belgium as at 31/12/2016 (total): |  |  |
|  | Please annex a schematic representation of the group structure to this document. |  |

|  |  |
| --- | --- |
| 1. **Activities**
 | **Notes / Comments** |
|  | Please indicate which activities are effectively performed by your institution as at 31/12/2016, and mention for each activity whether it is an important or less important activity (multiple activities possible): | Traditional retail bank[[5]](#footnote-5) | Important activity | [ ]   |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Wholesale bank[[6]](#footnote-6) | Important activity | [ ]   |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Specialised finance bank[[7]](#footnote-7) (please clarify the specialisation in the notes) | Important activity | [ ]   |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Social purpose bank[[8]](#footnote-8) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Central savings or cooperative bank[[9]](#footnote-9) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Investment bank[[10]](#footnote-10) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Private wealth management bank[[11]](#footnote-11) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Custodian bank[[12]](#footnote-12) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Central securities depository bank[[13]](#footnote-13) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Central counterparty bank[[14]](#footnote-14) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Payment system bank[[15]](#footnote-15) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Trade finance activity | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Focus on clients active in sector of precious metals and/or diamonds (e.g. diamond traders) | Important activity | [ ]  |  |
|  |  |  | Less important activity |[ ]   |
|  |  | Other (e.g. institutions which, in practice, do not perform banking activities in Belgium but are only active on the market for promotional purposes) + please clarify in the notes | Important activity | [ ]  |  |
|  |  |  | Less important 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 the number of customers by category: | 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 5.1 who are domiciled or have their registered office outside Belgium but within the EU: |  |  |
|  | Number of customers as referred to in 5.1 who are domiciled or have their registered office outside Belgium and outside the EU: |  |  |
|  | Number of customers as referred to in 5.1 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:* |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

|  |  |
| --- | --- |
| 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: |  |  |

|  |  |
| --- | --- |
| 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): |[ ] [ ]   |

|  |  |
| --- | --- |
| 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 10.1 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 10,000 euros or more performed by your institution for occasional customers in 2016: |  |  |
|  | Number of electronic funds transfers (money remittance) 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 one of the countries 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:
 |  |  |

|  |  |
| --- | --- |
| 1. **Private banking customers (only to be completed by credit institutions providing private banking services)**
 | **Notes / Comments** |
| *Note:* * *See question 3.1. for the definition of private banking' (or private wealth management)*
* *The term 'private banking customers' comprises both private and business private banking customers.*
 |  |
|  | Number of private banking customers domiciled in Belgium as at 31/12/2016: |  |  |
|  | Number of private banking customers domiciled outside Belgium as at 31/12/2016:  |  |  |
|  | Number of private banking customers domiciled in one of the countries included in Annex 1 as at 31/12/2016: |  |  |
|  | What threshold amount does your institution use to determine whether customers are eligible for private banking (as at 31/12/2016): |  |  |
|  | What is the total amount of funds of private banking customers held by your institution as at 31/12/2016 (in euros): |  |  |

|  |  |
| --- | --- |
| 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.):
 |  |  |
| 1. **Transactions**
 | **Notes / Comments** |
|  | Please provide the necessary information on the payment volume in 2016 (volume of **incoming** and **outgoing** payments):*Note:* * *'National payments' refers to payments made within Belgium.*
* *'International payments' refers to payments made from or to a country other than Belgium (payments made between Belgium and a member state of the European Economic Area should therefore be considered international payments for the purposes of this reporting).*
 |
| * National payments
 | Number of payments (sum of incoming and outgoing payments): |  |  |
| Volume (in euros): |  |  |
| * International payments
 | Number of payments (sum of incoming and outgoing payments): |  |  |
| Volume (in euros): |  |  |
|  | Please provide the number of payments (and the corresponding amount) made by your institution in 2016 to a bank account or other type of account from one of the countries included in Annex 1:*Note: These outgoing payments only refer to transactions to and from customers. Transactions between banks should therefore not be taken into account. These payments should comprise all transactions performed from Belgium and destined for one of the countries included in Annex 1.*  |
| * Number of payments:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | In the following table, please indicate which countries were involved in the payments as referred to in 15.2, as well as the corresponding cumulative amount of the payments made to this country (please add additional lines if the number of such countries exceeds 5). |
| *Country:* | *Cumulative amount of the payments (in euros):* |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  | Please provide the number of payments (and the corresponding amount) received by your institution's customers on one of their accounts and made from an account from one on the countries included in Annex 1 in 2016:*Note: these incoming payments only refer to transactions to and from customers. Transactions between banks should therefore not be taken into account. These payments should comprise all transactions originating from one of the countries included in Annex 1 and destined for Belgium.* |
| * Number of payments:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please indicate in the table below which countries were involved in the payments as referred to in 15.4, as well as the corresponding cumulative amount of the payments made from this country (please add additional lines if the number of such countries exceeds 5). |
| *Country:* | *Cumulative amount of the payments (in euros):* |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  | Please indicate how many cash deposits amounting to 5,000 euros or more were received by your institution in 2016 on behalf of customers, and provide a further breakdown for **private customers**:*Note: this includes cash deposits received when outsourcing cashier services, through sealbags and cash deposit machines, or which arrived through cash counting centres or money transports.* |
|  | *Number* | *Corresponding amount* |  |
| * total (for all customers):
 |  |  |  |
| * for private customers:
 |  |  |  |
|  | Please indicate how many cash withdrawals amounting to 5,000 euros or more were processed by your institution in 2016 on behalf of customers, and provide a further breakdown for **private customers**:*Note: see 15.6.* |
|  | *Number* | *Corresponding amount* |  |
| * total (for all customers):
 |  |  |  |
| * for private customers:
 |  |  |  |
|  | Please indicate the number of transactions (and the corresponding amount) which your institution refused to perform in 2016 for AML/CFT related reasons: |
| * Number of refused transactions:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |

|  |  |
| --- | --- |
| 1. **Investment advice and other investment services**
 | **Notes / Comments** |
|  | Please provide the number of incoming payments and the total amount of fees and commissions paid in 2016 to your institution by your customers for investment advice and other investment services received. |
| * Number of payments received:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |
|  | Please provide the number of outgoing payments and the total amount of proceeds from financial instruments (including selling prices) disbursed to customers by your institution in 2016: |
| * Number of disbursements:
 |  |  |
| * Corresponding amount (in euros):
 |  |  |

|  |  |
| --- | --- |
| 1. **Payments by unidentified third parties for credit repayment**
 | **Notes / Comments** |
|  | Do your institution's internal procedures state that the repayment of interest rates and capital in case of mortgages or other authorised credits may only be made from one or more fixed contra accounts held in the name of the customer? (In other words, do your institution's internal procedures forbid repayments of mortgages and credits to be performed from an account that may belong to an unidentified third party?) | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If your institution answered 'YES' to the previous question, does it also take concrete control measures, possibly on a sample basis, to ensure that these repayments are performed by the customer himself and not by an unidentified third party? (e.g. by verifying whether the account numbers used for these repayments correspond with the accounts provided by your customers?) Additionally, please clarify the control measures taken by your institution in the notes. | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |

|  |  |
| --- | --- |
| 1. **Correspondent banking customers**
 | **Notes / Comments** |
|  | Is your institution involved in correspondent banking relationships with respondent banks or does it intend to initiate such relationships? | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If your institution is involved in correspondent banking relationships with respondent banks or intends to initiate such relationships, do or could these relationships include the opening of payable-through accounts? | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If your institution is involved in correspondent banking relationships with respondent banks or intends to initiate such relationships, could the accounts placed at the disposal of your respondent bank by your institution also be used by other financial institutions which your institution does not have a relationship with, but which do have a direct relationship with your respondent bank (i.e. nesting or downstream correspondent banking)? | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If your institution is involved in correspondent banking relationships with respondent banks or intends to initiate such relationships, are these relationships (i) only used for performing transactions for customers of the respondent bank, (ii) only used for performing transactions in the name and on behalf of the respondent banks themselves, or (iii) used for a combination of both types of transactions? | Transactions on behalf of customers |[ ]   |
|  |  | Transactions on behalf of the institutions concerned themselves |[ ]   |
|  |  | Combination of both |[ ]   |
|  | How many correspondent banking relationships has your institution initiated as at 31/12/2016 with respondent banks (customers)? |  |  |
|  | How many correspondent banking relationships has your institution initiated as at 31/12/2016 with respondent banks (customers) established outside the EEA? |  |  |
|  | How many correspondent banking relationships has your institution initiated as at 31/12/2016 with respondent banks (customers) that are established in countries included in Annex 1? |  |  |

|  |  |
| --- | --- |
| 1. **Transfers of funds**
 | **Notes / Comments** |
|  | Does your institution receive fund transfers as referred to in Regulation 1781/2006 (Regulation 2015/847 as from 26 June 2017) for its customers? | YES |[ ]   |
|  |  | NO | [ ]  |  |
|  |  | N/A | [ ]  |  |
|  | If you answered affirmatively to the previous question, does your institution consider the receipt of incomplete transfers of funds and/or fund transfers with irrelevant information to be: |
|  | * Very problematic:
 |[ ]   |
|  | * Problematic:
 |[ ]   |
|  | * Slightly problematic:
 |[ ]   |
|  | * Not at all problematic:
 |[ ]   |
|  | * Not applicable:
 |[ ]   |
|  | How many fund transfers did your institution receive in 2016 for which the necessary (relevant) information was not included, and for what amount? |
|  | * Number:
 |  |  |
|  | * Corresponding amount in euros:
 |  |  |
|  | For how many of the transfers of funds as referred to in the previous question did your institution act as intermediary payment service provider? |  |  |
|  | What percentage of the total number and of the total amount of fund transfers received in 2016 consisted of incomplete fund transfers (and/or fund transfers with irrelevant information)? |
|  | * Percentage of the total number:
 |  % |  |
|  | * Percentage of the total amount:
 |  % |  |
|  | Does your institution have information on the four main countries of origin of incomplete fund transfers and/or fund transfers with irrelevant information? | YES |[ ]   |
|  |  | NO |[ ]   |
|  |  | N/A |[ ]   |
|  | If you answered 'YES' to the previous question, please complete the following table for these four countries: |
|  | *Country:* | *Number* | *Amount* | *% of the total number originating from the same country* | *% of the total amount originating from the same country* |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  | How many notifications of suspicious transactions with regard to incomplete fund transfers (and/or fund transfers with irrelevant information) were sent to the CTIF-CFI in 2016, and for what amount? |
|  | * Number:
 |  |  |
|  | * Corresponding amount in euros:
 |  |  |

|  |  |
| --- | --- |
| 1. **Analysis of atypical transactions**
 | **Notes / Comments** |
|  | How many atypical transactions for which an internal report was submitted to the person responsible for AML/CFT were detected by your institution in 2016? |  |  |
|  | How many of the atypical transactions as referred to in 20.1 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 20.1? |  |  |
|  | How many of the atypical reports as referred to in 20.1 pertain to: |
| * ... 'high-risk' customers:
 |  |  |
| * ... 'medium-risk' customers:
 |  |  |
| * ... 'low-risk' customers:
 |  |  |
|  | How many of the reports as referred to in 20.1 pertain to cash transactions? |  |  |
|  | How many of the reports as referred to in 20.1 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 for AML/CFT?  |  |  |

|  |  |
| --- | --- |
| 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 orders for the freezing of assets and economic resources?*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 22.1 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:
 |  |  |

|  |  |
| --- | --- |
| 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 23.1 and the other restrictive measures as referred to in 23.2 regarding business relationships pertained to: |
| * Customers – natural persons:
 |  |  |
| * Customers – legal persons or other legal arrangements:
 |  |  |
|  | How many of the terminations as referred to in 23.1 and the other restrictive measures as referred to in 23.2 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 23.1 and the other restrictive measures as referred to in 23.2 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 23.1 and the other restrictive measures as referred to in 23.2 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)
5. A bank that receives deposits and provides loans. [↑](#footnote-ref-5)
6. A bank that performs an activity on the interbank market and/or collects deposits from and provides loans to large corporate customers. [↑](#footnote-ref-6)
7. A bank that finances a very specific sector of activity (e.g. vehicle financing, credit cards) and institutions acting as banks to a single firm. [↑](#footnote-ref-7)
8. A bank that acts as a development institution by channelling funds for social purposes. [↑](#footnote-ref-8)
9. A bank that acts as liquidity provider for other banks within a cooperative framework. [↑](#footnote-ref-9)
10. A bank that assists customers in raising capital by underwriting or acting as a customer’s agent in the issuance of securities, that assists companies involved in mergers, acquisitions and provides ancillary services such as market making, trading of derivatives and equity securities or issues structured financial assets. [↑](#footnote-ref-10)
11. A bank that manages customers who invest sizeable assets. [↑](#footnote-ref-11)
12. A bank that is specialised in safeguarding a firm’s or individuals’ financial assets. [↑](#footnote-ref-12)
13. An institution that performs services including the registration, safekeeping and settlement of securities in exchange for cash, as well as the processing of securities transactions in financial markets. [↑](#footnote-ref-13)
14. An institution with central counterparty functions. [↑](#footnote-ref-14)
15. A bank that provides services on behalf of another bank in the payment system. [↑](#footnote-ref-15)