the Wolfsberg Group

Financial Institution Name: Location (Country) :

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CACEIS Bank										
	 	 	<u> </u>	 	 _		-	-		
Paris, France										

No#	Question	Answer
107,600,007,000,07,000,009,0300000,	/ & OWNERSHIP	P. Control
1	Full Legal name	CACEIS BANK
1 : : .	Append a list of foreign branches which are covered by this	CACEIS DAWA
2	questionnaire	CACEIS Bank Luxembourg Branch, CACEIS Bank Germany Branch, CACEIS
	questioniane	Bank Italy Branch, CACEIS Bank Ireland Branch, CACEIS Bank UK Branch,
		CACEIS Bank Belgium Branch, CACEIS Bank Netherlands Branch, CACEIS Bank
·		Switzerland Branch, CACEIS Zurich Branch, New York Representative Office.
0	Full Local / Designation of Address	89-91 rue Gabriel Péri
3	Full Legal (Registered) Address	92120 MONTROUGE
4	Full Primary Business Address (if different from above)	Not applicable
5	Date of Entity incorporation/establishment	06/05/1969
6	Select type of ownership and append an ownership chart if	
0	available	
6 a	Publicly Traded (25% of shares publicly traded)	No
6 a1	If Y, indicate the exchange traded on and ticker symbol	
6 b	Member Owned/Mutual	No
6 c	Government or State Owned by 25% or more	No
6 d	Privately Owned	Yes
6 d1	If Y, provide details of shareholders or ultimate beneficial	
oui .	owners with a holding of 10% or more	and 30,5% owned by Santander Investment (wholly owned by Banco
	Owners with a solding of 10% of files	Santander S.A.).
7	% of the Entity's total shares composed of bearer shares	0%
8	Does the Entity, or any of its branches, operate under an	
0	Offshore Banking License (OBL) ?	No
8 a	If Y, provide the name of the relevant branch/es which	
Ua	operate under an OBL	Not applicable
9	Does the Bank have a Virtual Bank License or provide	
Ĭ.	services only through online channels?	No
10	Provide Legal Entity Identifier (LEI) if available	96950023SCR9X9F3L662
	TF & SANCTIONS PROGRAMME	
11	Does the Entity have a programme that sets minimum AML,	
	CTF and Sanctions standards regarding the following	
į.	components:	
11 a	Appointed Officer with sufficient experience/expertise	Yes
11 b	Adverse Information Screening	Yes
11 c	Beneficial Ownership	Yes
11 d	Cash Reporting	Yes
11 e	CDD	Yes
11 f	EDD	Yes
11 g	Independent Testing	Yes
11 h	Periodic Review	Yes
11 i	Policies and Procedures	Yes
11 i	PEP Screening	Yes
		Yes
11 k	Risk Assessment	Yes
111	Sanctions Consider Addition Depositing	Yes Yes
11 m	Suspicious Activity Reporting	
11 n	Training and Education	Yes
11 o	Transaction Monitoring	Yes
12	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior	Von
1		Yes
10	Management Committee? Does the Entity use third parties to carry out any	
13	components of its AML, CTF & Sanctions programme?	No
12 0	If Y, provide further details	Not applicable
13 a 14	Does the entity have a whistleblower policy?	Yes
	RIBERY & CORRUPTION	100
DV150500/00/00/00/00/00/00/00/00/00/00/00/0		T
15	Has the Entity documented policies and procedures	
	consistent with applicable ABC regulations and	Yes
	requirements to reasonably prevent, detect and report	
40	bribery and corruption?	
16	Does the Entity's internal audit function or other	
	independent third party cover ABC Policies and	Yes
17	Procedures?	
17	Does the Entity provide mandatory ABC training to:	

17 b	17 a	Board and Senior Committee Management	Yes
17 d Srd Line of Defense 17 d Srd Line of Defense 17 d Srd Line of Defense 18 expected to ABO risk have been outscureds for the account of the acco			
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		customers and connected parties to determine whether they	100
are PEPs, or controlled by PEPs?		are PEPs, or controlled by PEPs?	

29	Is KYC renewed at defined frequencies based on risk rating	Yes
	(Periodic Reviews)?	165
29 a	If yes, select all that apply:	
29 a1	Less than one year	No
29 a2	1 – 2 years	Yes Yes
29 a3	3 – 4 years	Yes
29 a4	5 years or more Trigger-based or perpetual monitoring reviews	Yes
29 a5 29 a6	Other (please specify)	Q29a, Q29a1, Q29a2, Q29a3, Q29a5:
29 90	Other (please specify)	- every year: high risk clients (leagal entitites and individuals)
		- every 3 years : standard risk clients (legal entities)
		- every 5 years : standard risk clients (individuals)
		- every 7 years : low risk clients (legal entities)
30	From the list below, which categories of customers or	
	industries are subject to EDD and/or are restricted, or	
	prohibited by the Entity's FCC programme?	
30 a	Arms, Defence, Military	Always subject to EDD
30 b	Respondent Banks	Always subject to EDD
30 b1	If EDD or EDD & restricted, does the EDD assessment	
	contain the elements as set out in the Wolfsberg	Yes
00 +	Correspondent Banking Principles 2022?	Always subject to EDD
30 c 30 d	Embassies/Consulates Extractive industries	Always subject to EDD
30 a	Cambling customers	Always subject to EDD
30 e 30 f	General Trading Companies	Always subject to EDD
30 g	Marijuana-related Entities	Always subject to EDD
30 h	MSB/MVTS customers	Prohibited
30 ii	Non-account customers	Always subject to EDD
30 i	Non-Government Organisations	Always subject to EDD
30 k	Non-resident customers	Always subject to EDD
30 I	Nuclear power	Always subject to EDD
30 m	Payment Service Providers	Always subject to EDD
30 n	PEPs	Always subject to EDD
30 o	PEP Close Associates	Always subject to EDD
30 p	PEP Related	Always subject to EDD
30 q	Precious metals and stones	Always subject to EDD
30 r	Red light businesses/Adult entertainment	Do not have this category of customer or industry
30 s	Regulated charities	Always subject to EDD
30 t	Shell banks	Prohibited
30 u	Travel and Tour Companies	Do not have this category of customer or industry
30 v	Unregulated charities	Always subject to EDD
30 w	Used Car Dealers	Do not have this category of customer or industry.
30 x	Virtual Asset Service Providers	Always subject to EDD
30 y	Other (specify)	
31	If restricted, provide details of the restriction	
	TORING & REPORTING	
32	Does the Entity have risk based policies, procedures and	
	monitoring processes for the identification and reporting of	Yes
	suspicious activity? What is the method used by the Entity to monitor	
33	transactions for suspicious activities?	Combination of automated and manual
33 a	If manual or combination selected, specify what type of	Manual monitoring is necessary when the source of the triggering event
-	transactions are monitored manually	cannot be integrated into the automatic tool (example: external alert).
34	Does the Entity have regulatory requirements to report	
	suspicious transactions?	Yes
34 a	If Y, does the Entity have policies, procedures and	
	processes to comply with suspicious transactions	Yes
	reporting requirements?	
35	Does the Entity have policies, procedures and processes to	
	review and escalate matters arising from the monitoring of	Yes
7884.77	customer transactions and activity?	
	ENT TRANSPARENCY	T
36	Does the Entity adhere to the Wolfsberg Group Payment	Yes
27	Transparency Standards? Does the Entity have policies, procedures and processes to	
37	comply with and have controls in place to ensure	
1	compliance with:	
37 a	FATF Recommendation 16	Yes
37 b	Local Regulations	Yes
37 b1	If Y, Specify the regulation	European regulation 2015/847
37 C	If N, explain	
8. SANC		

Does the Entity have a Sanctions Policy approved by management regarding compliance with sanctions law applicable to the Entity, including with respect to its business conducted with, or through accounts held at foreign financial institutions?	Yes
applicable to the Entity, including with respect to its business conducted with, or through accounts held at	Yes
business conducted with, or through accounts held at	Yes
, e	
foreign financial institutions?	
Does the Entity have policies, procedures or other controls	
reasonably designed to prohibit and/or detect actions taken	
to evade applicable sanctions prohibitions, such as	Yes
, , ,	
	Yes
List (UN)	Used for screening customers and beneficial owners and for filtering transactional data
United States Department of the Treasury's Office of	Used for screening customers and beneficial owners and for filtering transactional
	data
Office of Financial Sanctions Implementation HMT (OFSI)	Used for screening customers and beneficial owners and for filtering transactional data
F Union On a C. F. 4 - 4 1 7 - 1 7 - 1 7	Used for screening customers and beneficial owners and for filtering transactional
European Union Consolidated List (EU)	data
Lists maintained by other G7 member countries	Not used
Other (specify)	Q41: Luxemburgish sanctions lists, Belgian sanctions lists, Swiss sanctions
	lists.
Does the Entity have a physical presence, e.g. branches.	
	No
	,
, ,	Yes
	Yes
Internal policies for controlling money laundering, terrorist	Yes
financing and sanctions violations	150
New issues that occur in the market, e.g. significant	V
regulatory actions or new regulations	Yes
	Yes
	Yes
	Yes
	1.2
	Yes
outsourced	Not Applicable
Non-employed workers (contractors/consultants)	No
In addition to inspections by the government	
audit function, a testing function or other independent third	Yes
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porty or both that accorded ECC AMI, CTE ABC Fraud	
party, or both, that assesses FCC AML, CTF, ABC, Fraud and Sanctions policies and practices on a regular basis?	
	United States Department of the Treasury's Office of Foreign Assets Control (OFAC) Office of Financial Sanctions Implementation HMT (OFSI) European Union Consolidated List (EU) Lists maintained by other G7 member countries Other (specify) Does the Entity have a physical presence, e.g. branches, subsidiaries, or representative offices located in countries/regions against which UN, OFAC, OFSI, EU or G7 member countries have enacted comprehensive jurisdiction-based Sanctions? NG & EDUCATION Does the Entity provide mandatory training, which includes: Identification and reporting of transactions to government authorities Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered Internal policies for controlling money laundering, terrorist financing and sanctions violations New issues that occur in the market, e.g. significant regulatory actions or new regulations Is the above mandatory training provided to: Board and Senior Committee Management 1st Line of Defence 2nd Line of Defence Third parties to which specific FCC activities have been outsourced Non-employed workers (contractors/consultants)

Wolfsberg Group Financial Crime Compliance Questionna	ire 2023 (FCCQ V1.2)
CACEIS Bank	(Financial Institution name)
I, Jean - Luc EYMERY understood this declaration, that the answers provided in this Wolfsberg FC	(Senior Compliance Manager- Second Line representative), certify that I have read and CCQ are complete and correct to my honest belief.
	(Signature & Date)