



Solomon JFZ (Asia) Holdings Limited 華贏東方 ( 亞洲 ) 控股有限公司

Questionnaire of Due Diligence Review

Full Name of Company: \_\_\_\_\_

**1. General Information**

(a)	Company Overview (Brief background profile including date of establishment, number of staff, clientele etc.)  _____  _____  _____
(b)	Jurisdiction of Incorporation: _____
(c)	Business Address:  _____  _____
(d)	Internet Website Address: _____
(e)	Key Contact Persons: _____
(f)	Company Structure (Please provide in separate sheet):



## 2. Compliance

<p>(a)</p>	<p>Are you regulated in your jurisdiction</p> <p><input type="checkbox"/> Yes</p> <p>Regulated License</p> <p>Licensing Authority: _____</p> <p>Type of License: _____</p> <p>License Number: _____</p> <p>Issue Date: _____</p> <p>Expiry Date (if applicable): _____</p> <p>Conditions of License (if applicable): _____</p> <p><input type="checkbox"/> No</p>
<p>(b)</p>	<p>Please describe the services that you provide and state how long your companies been in business and how long it has been providing the services similar to the proposed services?</p> <p>_____</p>
<p>(c)</p>	<p>If you are regulated, do you have appropriate internal policies, procedures and controls implemented for the Regulated Activities?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
<p>(d)</p>	<p>Does your company's policies and procedures comply with FATF (Financial Action Task Force) Recommendation?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>



	<p>(e) Do you have internal policies, procedures and controls implemented to help prevent money laundering and terrorist financing?</p> <p><input type="checkbox"/> Yes [Please provide a copy of your policy on AML/CTF]</p> <p><input type="checkbox"/> No</p>
	<p>(f1) <b><u>(For Fund Managers and/or Fund Companies)</u></b></p> <p>Please describe the following (Please provide in separate sheet):</p> <p>(i) Describe your investment approach;</p> <p>(ii) What is the background and experience level of people on the investment and analytical teams;</p> <p>(iii) How often do you review the investment strategy of the fund;</p> <p>(iv) Describe your competitive advantages and how the company attempts to produce replicable returns;</p>
	<p>(f2) <b><u>(For Licensed Intermediary)</u></b></p> <p>Please provide briefly the information regarding your company's liquidity and capitalization.</p> <hr/>
	<p>(g) Please provide the name of your external auditor:</p> <hr/>
	<p>(h) Please provide details if in the past 5 years your company or its affiliates has been the subject of:</p> <p><input type="checkbox"/> Disciplinary proceedings or record of non-compliance of any codes, guidelines, rules or statutory requirements set by any regulator in Hong Kong or an overseas authority:</p> <hr/>



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<input type="checkbox"/> Criminal prosecution:	<hr/>
(i) Please provide details of the following:	
<input type="checkbox"/> Any litigation, threatened or pending either of a criminal nature of which involves more than US\$10,000 in which your company is a defendant in any capacity;	
<input type="checkbox"/> Any material complaints by clients such as unsuitability of products or selling practices of your licensed persons; and/or	
<input type="checkbox"/> Any investigation by any regulator or governmental authority (it is not necessary to disclose details if you are subject to statutory secrecy).	
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I/We hereby declare that the information in this Due Diligence Questionnaire is true and correct.

Completed by: \_\_\_\_\_

(Signature)

\_\_\_\_\_

(Name)

\_\_\_\_\_

(Title)

Completed date: \_\_\_\_\_

(DD/MM/YYYY)