



Financial Institution Name:

ROTHSCHILD & CO WEALTH MANAGEMENT UK LIMITED

Location (Country) :

UNITED KINGDOM

No #	Question	Answer
1. ENTITY & OWNERSHIP		
1	Full Legal name	ROTHSCHILD & CO WEALTH MANAGEMENT UK LIMITED
2	Append a list of foreign branches which are covered by this questionnaire (if applicable)	
3	Full Legal (Registered) Address	New Court, St Swithin's Lane, London, EC4N 8AL, UNITED KINGDOM
4	Full Primary Business Address (if different from above)	
5	Date of Entity incorporation / establishment	2002
6	Select type of ownership and append an ownership chart if 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 owners with a holding of 10% or more	NO NATURAL PERSON WITH 10% OR MORE
7	% of the Entity's total shares composed of bearer shares	0%
8	Does the Entity, or any of its branches, operate under an Offshore Banking License (OBL) ?	No 
8 a	If Y, provide the name of the relevant branch/es which operate under an OBL	

2. AML, CTF & SANCTIONS PROGRAMME		
9	Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	
9 a	Appointed Officer with sufficient experience / expertise	Yes
9 b	Cash Reporting	Not Applicable
9 c	CDD	Yes
9 d	EDD	Yes
9 e	Beneficial Ownership	Yes
9 f	Independent Testing	Yes
9 g	Periodic Review	Yes
9 h	Policies and Procedures	Yes
9 i	Risk Assessment	Yes
9 j	Sanctions	Yes
9 k	PEP Screening	Yes
9 l	Adverse Information Screening	Yes
9 m	Suspicious Activity Reporting	Yes
9 n	Training and Education	Yes
9 o	Transaction Monitoring	Yes
10	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee?	Yes
11	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	No
11a	If Y, provide further details	

3. ANTI BRIBERY & CORRUPTION

12	Has the Entity documented policies and procedures consistent with applicable ABC regulations and requirements to [reasonably] prevent, detect and report bribery and corruption?	Yes	
13	Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?	Yes	
14	Does the Entity provide mandatory ABC training to:		
14 a	Board and Senior Committee Management	Yes	
14 b	1st Line of Defence	Yes	
14 c	2nd Line of Defence	Yes	
14 d	3rd Line of Defence	Yes	
14 e	3rd parties to which specific compliance activities subject to ABC risk have been outsourced	Yes	
14 f	Non-employed workers as appropriate (contractors / consultants)	Yes	

4. AML, CTF & SANCTIONS POLICIES & PROCEDURES

15	Has the Entity documented policies and procedures consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:		
15 a	Money laundering	Yes	v
15 b	Terrorist financing	Yes	v
15 c	Sanctions violations	Yes	v
16	Does the Entity have policies and procedures that:		
16 a	Prohibit the opening and keeping of anonymous and fictitious named accounts	Yes	v
16 b	Prohibit the opening and keeping of accounts for unlicensed banks and / or NBFIs	Yes	v
16 c	Prohibit dealing with other entities that provide banking services to unlicensed banks	Yes	v
16 d	Prohibit accounts / relationships with shell banks	Yes	v
16 e	Prohibit dealing with another Entity that provides services to shell banks	Yes	v
16 f	Prohibit opening and keeping of accounts for Section 311 designated entities	Yes	v
16 g	Prohibit opening and keeping of accounts for any of unlicensed / unregulated remittance agents, exchanges houses, casa de cambio, bureaux de change or money transfer agents	Yes	v
16 h	Assess the risks of relationships with domestic and foreign PEPs, including their family and close associates	Yes	v
16 i	Define escalation processes for financial crime risk issues	Yes	v
16 j	Specify how potentially suspicious activity identified by employees is to be escalated and investigated	Yes	v
16 k	Outline the processes regarding screening for sanctions, PEPs and negative media	Yes	v
17	Has the Entity defined a risk tolerance statement or similar document which defines a risk boundary around their business?	Yes	v
18	Does the Entity have a record retention procedures that comply with applicable laws?	Yes	v
18 a	If Y, what is the retention period?	5 years or more	v

5. KYC, CDD and EDD			
19	Does the Entity verify the identity of the customer?	Yes	v
20	Do the Entity's policies and procedures set out when CDD must be completed, e.g. at the time of onboarding or within 30 days	Yes	v
21	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:		
21 a	Ownership structure	Yes	v
21 b	Customer identification	Yes	v
21 c	Expected activity	Yes	v
21 d	Nature of business / employment	Yes	v
21 e	Product usage	Yes	v
21 f	Purpose and nature of relationship	Yes	v
21 g	Source of funds	Yes	v
21 h	Source of wealth	Yes	v
22	Are each of the following identified:		
22 a	Ultimate beneficial ownership	Yes	v
22 a1	Are ultimate beneficial owners verified?	Yes	v
22 b	Authorised signatories (where applicable)	Yes	v
22 c	Key controllers	Yes	v
22 d	Other relevant parties	Anyone with view authority only on an account, e.g. accountant	
23	Does the due diligence process result in customers receiving a risk classification?	Yes	v
24	Does the Entity have a risk based approach to screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	Yes	v
25	Does the Entity have policies, procedures and processes to review and escalate potential matches from screening customers and connected parties to determine whether they are PEPs, or controlled by PEPs?	Yes	v
26	Does the Entity have a process to review and update customer information based on:		
26 a	KYC renewal	Yes	v
26 b	Trigger event	Yes	v

27	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?		
27 a	Non-account customers	Prohibited	▼
27 b	Non-resident customers	EDD on a risk based approach	▼
27 c	Shell banks	Prohibited	▼
27 d	MVTS/ MSB customers	Do not have this category of customer or industry	▼
27 e	PEPs	EDD on a risk based approach	▼
27 f	PEP Related	EDD on a risk based approach	▼
27 g	PEP Close Associate	EDD on a risk based approach	▼
27 h	Correspondent Banks	Do not have this category of customer or industry	▼
27 h1	If EDD or EDD & restricted, does the EDD assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2014?	Yes	▼
27 i	Arms, defense, military	EDD on a risk based approach	▼
27 j	Atomic power	EDD on a risk based approach	▼
27 k	Extractive industries	EDD on a risk based approach	▼
27 l	Precious metals and stones	EDD on a risk based approach	▼
27 m	Unregulated charities	EDD on a risk based approach	▼
27 n	Regulated charities	EDD on a risk based approach	▼
27 o	Red light business / Adult entertainment	Do not have this category of customer or industry	▼
27 p	Non-Government Organisations	Do not have this category of customer or industry	▼
27 q	Virtual currencies	EDD on a risk based approach	▼
27 r	Marijuana	Do not have this category of customer or industry	▼
27 s	Embassies / Consulates	Do not have this category of customer or industry	▼
27 t	Gambling	EDD on a risk based approach	▼
27 u	Payment Service Provider	Do not have this category of customer or industry	▼
27 v	Other (specify)		
28	If restricted, provide details of the restriction		

6. MONITORING & REPORTING

29	Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?	Yes	▼
30	What is the method used by the Entity to monitor transactions for suspicious activities?	Combination of automated and manual	▼
31	Does the Entity have regulatory requirements to report suspicious transactions?	Yes	▼
31 a	If Y, does the Entity have policies, procedures and processes to comply with suspicious transactions reporting requirements?	Yes	▼
32	Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	Yes	▼

7. PAYMENT TRANSPARENCY

33	Does the Entity adhere to the Wolfsberg Group Payment Transparency Standards?	Yes	
34	Does the Entity have policies, procedures and processes to [reasonably] comply with and have controls in place to ensure compliance with:		
34 a	FATF Recommendation 16	Yes	
34 b	Local Regulations	Yes	
34 b1	Specify the regulation	Funds Transfer Regulation	
34 c	If N, explain		

8. SANCTIONS

35	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 stripping, or the resubmission and / or masking, of sanctions relevant information in cross border transactions?	Yes	
36	Does the Entity screen its customers, including beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?	Yes	
37	Select the Sanctions Lists used by the Entity in its sanctions screening processes:		
37 a	Consolidated United Nations Security Council Sanctions List (UN)	Used for screening customers and beneficial owners and for filtering transactional data	
37 b	United States Department of the Treasury's Office of Foreign Assets Control (OFAC)	Used for screening customers and beneficial owners and for filtering transactional data	
37 c	Office of Financial Sanctions Implementation HMT (OFSI)	Used for screening customers and beneficial owners and for filtering transactional data	
37 d	European Union Consolidated List (EU)	Used for screening customers and beneficial owners and for filtering transactional data	
37 e	Lists maintained by other G7 member countries	Used for screening customers and beneficial owners and for filtering transactional data	
37 f	Other (specify)	A number of national financial sanctions lists provided through World Check/Refinitiv	
38	Does the Entity have a physical presence, e.g., branches, subsidiaries, or representative offices located in countries / regions against which UN, OFAC, OFSI, EU and G7 member countries have enacted comprehensive jurisdiction-based Sanctions?	No	

9. TRAINING & EDUCATION		
39	Does the Entity provide mandatory training, which includes :	
39 a	Identification and reporting of transactions to government authorities	Yes
39 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	Yes
39 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	Yes
39 d	New issues that occur in the market, e.g., significant regulatory actions or new regulations	Yes
40	Is the above mandatory training provided to :	
40 a	Board and Senior Committee Management	Yes
40 b	1st Line of Defence	Yes
40 c	2nd Line of Defence	Yes
40 d	3rd Line of Defence	Yes
40 e	3rd parties to which specific FCC activities have been outsourced	Not Applicable
40 f	Non-employed workers (contractors / consultants)	Yes

10. AUDIT

41	In addition to inspections by the government supervisors / regulators, does the Entity have an internal audit function, a testing function or other independent third party, or both, that assesses FCC AML, CTF and Sanctions policies and practices on a regular basis?	Yes
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Wolfsberg Group Financial Crime Compliance Questionnaire 2020 (FCCQ V1.1)

ROTHSCHILD & CO WEALTH MANAGEMENT UK LIMITED

(Financial Institution name)

EVGENIA GIANNOULOPOULOU, MLRO

I,  (Senior Compliance Manager- Second Line representative), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg FCCQ are complete and correct to my honest belief.

13/09/2022

(Signature & Date)