the Wolfsberg Group

Financial Institution Name: Location (Country) : Banco Monex SA Institución de Banca Múltiple, Monex Grupo Financlero Mexico City, Mexico

The questionnaire is required to be answered on a Legal Entity (LE) Level. The Financial Institution should answer the questionnaire at the legal entity level including any branches for which the client base, products and control model are materially similar to the LE Head Office. This questionnaire should not cover more than one LE. Each question in the CBDDQ will need to be addressed from the perspective of the LE and on behalf of all of its branches. If a response for the LE differs for one of its branches, this needs to be highlighted and details regarding this difference captured at the end of each sub-section. If a branch's business activity (products offered, client base etc.) is materially different than its Entity Head Office, a separate questionnaire can be completed for that branch.

No#	Question	Answer
1. ENTITY	& OWNERSHIP	
1	Full Legal Name	
	_	Banco Monex SA Institución de Banca Múltiple, Monex Grupo Financiero
2	Append a list of foreign branch as which are several	77.44
-	Append a list of foreign branches which are covered	11 Branches in Mexico
	by this questionnaire	
i		
3	Full Legal (Registered) Address	
		Av. Paseo de la Reforma 234 Piso 15, Col. Juarez, Cuauhtemoc, CDMX, 06600
İ		
4	Full Primary Business Address (if different from	Same as above
l	above)	
ļ		
5	Date of Entity incorporation/establishment	
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6	Select type of ownership and append an ownership	
	chart if available	■ 特別等のは、1000年間に対し、1000年間に対している。
6 a	Publicly Traded (25% of shares publicly traded)	No
6 a1	If Y, indicate the exchange traded on and ticker	NO .
o a i	symbol	N/A
	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	Héctor Pío Lagos Dondé (57.85%)
	20110110110110110111011111111111111111	Georgina Teresita Lagos Dondé (21.07%)
		Francisco Lorenzo Lagos Dondé (21.07%)
7	% of the Entity's total shares composed of bearer	
	shares	0%
		• /•
•	D4- F-44	
8	Does the Entity, or any of its branches, operate under	No
	an Offshore Banking License (OBL)?	
8 a	If Y, provide the name of the relevant branch/es	N/A
	which operate under an OBL	I N/A
9	Door the Bank have a Virtual Bank License	
	Does the Bank have a Virtual Bank License or	No
	provide services only through online channels?	
	Name of primary financial regulator/supervisory	Comisión Nacional Bancaria y de Valores (CNBV)
	authority	Banco de México (Banxico)
		,,
11	Provide Legal Entity Identifier (LEI) if available	
••	Trongo Logar Chary Inditalion (LCI) II available	549300T8MOVNV08XF242
i		
12	Provide the full legal name of the ultimate parent (If	
	different from the Entity completing the DDQ)	Monex, SAPI de CV
l		
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13		
	Jurisdiction of licensing authority and regulator of	México / Comisión Nacional Bancaria y de Valores (CNBV)
	ultimate parent	Mexico / Confision Nacional Ballicana y de Valores (ONDV)
	O List the Leviness and Lingble to the Entity	
14	Select the business areas applicable to the Entity	
14 a	Retail Banking	No
14 b	Private Banking	No
14 c	Commercial Banking	Yes
14 d	Transactional Banking	Yes
14 e	Investment Banking	No
14 f	Financial Markets Trading	Yes
14 g	Securities Services/Custody	No
14 h	Broker/Dealer	No
141	Multilateral Development Bank	No
	Wealth Management	No
14 j		110
14 k	Other (please explain)	N/A
15	Does the Entity have a significant (10% or more)	
	portfolio of non-resident customers or does it derive	
	more than 10% of its revenue from non-resident	
	customers? (Non-resident means customers primarily	No
	resident in a different jurisdiction to the location	
	where bank services are provided)	
15 a	If Y, provide the top five countries where the non-	N/A
	resident customers are located.	
16	Select the closest value:	
		1001-5000
16 a	Number of employees	Greater than \$500 million
16 b	Total Assets	Greater than \$500 million
17	Confirm that all responses provided in the above	Yes
	Section are representative of all the LE's branches.	
17 a	If N, clarify which questions the difference/s relate to	N/A
	and the branch/es that this applies to.	
l	M	
18	If appropriate, provide any additional information/context to the answers in this section.	N/A
	information/context to the answers in this section.	
2. PRODU	CTS & SERVICES	
The second second second second		
19	Does the Entity offer the following products and	
19		The property of the second sec
	Does the Entity offer the following products and services:	No.
19 a	Does the Entity offer the following products and services: Correspondent Banking	No.
19 a 19 a1	Does the Entity offer the following products and services: Correspondent Banking If Y	No
19 a	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking	No.
19 a 19 a1 19 a1a	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks?	No
19 a 19 a1	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to	No
19 a 19 a1 19 a1a 19 a1b	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships?	No Please select
19 a 19 a1 19 a1a	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures	No Please select
19 a 19 a1 19 a1a 19 a1b	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships?	No Please select
19 a 19 a1 19 a1a 19 a1b	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures	No Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks?	No Please select Please select
19 a 19 a1 19 a1a 19 a1b	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking	No Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks?	No Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships	No Please select Please select
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19 a 1 19 a 1 a 1 19 a 1 b 1 19 a 1 c 1 19 a 1 d 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures	No Please select Please select Please select Please select
19 a 1 19 a 1 a 1 b 1 9 a 1 c 1 9 a 1 c 1 9 a 1 d 1 9 a 1 d 1 9 a 1 e 1 9 a 1 e	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to Identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks?	No Please select Please select Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c 19 a1d 19 a1d	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures	No Please select Please select Please select Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c 19 a1d 19 a1d 19 a1f	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks?	No Please select Please select Please select Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c 19 a1d 19 a1d	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks? Does the Entity forer Correspondent Banking services to Identify downstream relationships with foreign banks?	No Please select Please select Please select Please select Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c 19 a1d 19 a1d 19 a1f	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity fave processes and procedures in place to identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses	No Please select Please select Please select Please select Please select
19 a 1 19 a 1 a 1 19 a 1 a 1 b 1 9 a 1 c 1 9 a 1 d 1 9 a 1 f 1 9 a 1 f 1 9 a 1 g	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to Identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to Identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?	No Please select Please select Please select Please select Please select Please select
19 a 1 19 a 1 a 1 b 19 a 1 c 19 a 1 d 19 a 1 d 19 a 1 d 19 a 1 e 19 a 1 f	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)? Does the Entity allow downstream relationships	No Please select Please select Please select Please select Please select Please select
19 a 1 19 a 1 a 1 19 a 1 a 1 b 1 9 a 1 c 1 9 a 1 d 1 9 a 1 f 1 9 a 1 f 1 9 a 1 g	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to Identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to Identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)?	No Please select Please select Please select Please select Please select Please select
19 a 1 19 a 1 a 1 19 a 1 a 1 b 1 9 a 1 c 1 9 a 1 d 1 9 a 1 f 1 9 a 1 f 1 9 a 1 g	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)? Does the Entity allow downstream relationships	No Please select Please select Please select Please select Please select Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c 19 a1c 19 a1d 19 a1f 19 a1f 19 a1f	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)? Does the Entity allow downstream relationships with MSBs, MVTSs, or Payment Service Provider (PSPs)?	No Please select
19 a 19 a1 19 a1a 19 a1b 19 a1c 19 a1c 19 a1d 19 a1e 19 a1f 19 a1f 19 a1h	Does the Entity offer the following products and services: Correspondent Banking If Y Does the Entity offer Correspondent Banking services to domestic banks? Does the Entity allow domestic bank clients to provide downstream relationships? Does the Entity have processes and procedures in place to identify downstream relationships with domestic banks? Does the Entity offer Correspondent Banking services to foreign banks? Does the Entity allow downstream relationships with foreign banks? Does the Entity have processes and procedures in place to identify downstream relationships with foreign banks? Does the Entity offer Correspondent Banking services to regulated Money Services Businesses (MSBs)/Money Value Transfer Services (MVTSs)? Does the Entity allow downstream relationships with MSBs, MVTSs, or Payment Service Provider (PSPs)?	No Please select
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19 a1i	Does the Entity have processes and procedures	
1	in place to identify downstream relationships with	Yes
ľ	MSBs /MVTSs/PSPs?	
19 b	Cross-Border Bulk Cash Delivery	No
19 c	Cross-Border Remittances	
		No
19 d	Domestic Bulk Cash Delivery	No
19 e	Hold Mail	No
19 f	International Cash Letter	No
19 g	Low Price Securities	No
19 h	Payable Through Accounts	No
19 i	Payment services to non-bank entities who may	TNO
'' '	then offer third party payment services to their	
	customers?	Yes
	customers	
19 i1	If Y, please select all that apply below?	
19 i2	Third Party Payment Service Providers	Yes
19 i3	Virtual Asset Service Providers (VASPs)	No
19 14	eCommerce Platforms	
19 i5		No
1910	Other - Please explain	l N/A
1		
19 j	Private Banking	N.
19 k		No
	Remote Deposit Capture (RDC)	No
191	Sponsoring Private ATMs	No
19 m	Stored Value Instruments	No
19 n	Trade Finance	Yes
19 o	Virtual Assets	No
19 p	For each of the following please state whether you	
liab		
	offer the service to walk-in customers and if so, the	[[[전문]] [[[[[[[]]]] [[[[[]]] [[[]]] [[[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]] [[]
	applicable level of due diligence:	[발동형원] 이 토리에 가는 이 호로리스, 그 보고 있는 것 같은 사람이 가득하는
19 p1	Check cashing service	No
19 p1a	If yes, state the applicable level of due diligence	Please select
19 p2	Wire transfers	No
19 p2a	If yes, state the applicable level of due diligence	Please select
19 p3	Foreign currency conversion	No
19 p3a	If yes, state the applicable level of due diligence	
		Please select
40 -4		
19 p4	Sale of Monetary Instruments	No
19 p4a	If yes, state the applicable level of due diligence	No Please select
	If yes, state the applicable level of due diligence If you offer other services to walk-in customers	
19 p4a	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including	Please select
19 p4a	If yes, state the applicable level of due diligence If you offer other services to walk-in customers	Please select
19 p4a	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including	Please select
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence.	Piease select N/A
19 p4a	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by	Please select
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence.	Piease select N/A
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by	Piease select N/A
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify)	Piease select N/A
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify)	Piease select N/A N/A
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by	Piease select N/A
19 p4a 19 p5 19 q	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches.	Piease select N/A N/A
19 p4a 19 p5	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to	Piease select N/A N/A
19 p4a 19 p5 19 q	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches.	Piease select N/A N/A Yes
19 p4a 19 p5 19 q	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to	Piease select N/A N/A Yes
19 p4a 19 p5 19 q	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to	Piease select N/A N/A Yes
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19 p4a 19 p5 19 q 20 20 a	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	Piease select N/A N/A Yes
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19 p4a 19 p5 19 q 20 20 a 21	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to. If appropriate, provide any additional information/context to the answers in this section.	Piease select N/A N/A Yes N/A N/A
19 p4a 19 p5 19 q 20 20 a 21	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to. If appropriate, provide any additional information/context to the answers in this section. TF.& SANCTIONS PROGRAMME Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the	Piease select N/A N/A Yes N/A N/A
19 p4a 19 p5 19 q 20 20 a 21 3. AML, C	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to. If appropriate, provide any additional information/context to the answers in this section. TF.& SANCTIONS PROGRAMME Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components:	Piease select N/A N/A Yes N/A N/A
19 p4a 19 p5 19 q 20 20 a 21 3. AML, C	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to. If appropriate, provide any additional information/context to the answers in this section. IF & SANCTIONS PROGRAMME Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components: Appointed Officer with sufficient experience/expertise	Piease select N/A N/A Yes N/A N/A
19 p4a 19 p5 19 q 20 20 a 21 3. AML, C	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to. If appropriate, provide any additional information/context to the answers in this section. IF & SANCTIONS PROGRAMME Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components: Appointed Officer with sufficient experience/expertise Adverse Information Screening	Piease select N/A N/A Yes N/A N/A
19 p4a 19 p5 19 q 20 20 a 21 3. AML, C	If yes, state the applicable level of due diligence If you offer other services to walk-in customers please provide more detail here, including describing the level of due diligence. Other high-risk products and services identified by the Entity (please specify) Confirm that all responses provided in the above Section are representative of all the LE's branches. If N, clarify which questions the difference/s relate to and the branch/es that this applies to. If appropriate, provide any additional information/context to the answers in this section. IF & SANCTIONS PROGRAMME Does the Entity have a programme that sets minimum AML, CTF and Sanctions standards regarding the following components: Appointed Officer with sufficient experience/expertise	Piease select N/A N/A Yes N/A N/A Yes
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22 m	Suspicious Activity Reporting	Yes
22 n	Training and Education	Yes
22 o	Transaction Monitoring	Yes
23	How many full time employees are in the Entity's AML, CTF & Sanctions Compliance Department?	11-100
24	Is the Entity's AML, CTF & Sanctions policy approved at least annually by the Board or equivalent Senior Management Committee? If N, describe your practice in Question 29.	Yes
25	Does the Board receive, assess, and challenge regular reporting on the status of the AML, CTF, & Sanctions programme?	Yes
26	Does the Entity use third parties to carry out any components of its AML, CTF & Sanctions programme?	Yes
26 a	ff Y, provide further details	On-site visit report for new high-risk customer (additional to the one performed by the Relationship Manager). Annual AML-CFY training carried acu throung the one-line plataform of the Mexican Banking Association (ABM).
27	Does the entity have a whistleblower policy?	Yes
28	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
28 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	N/A
29	If appropriate, provide any additional information/context to the answers in this section.	Q.26 As a best practice (non-regulatory requirement) and as an additional control to the site-visit report made by the Saleforce, in the case of new high-risk customer, a second visit report is made to validate presence. The provider of this service us a consulting firm certified on AML-CTF.
A A A A A A A A A A A A A A A A A A A	PRIDERY'S CORPURTION	
4, ANT 30	Has the Entity documented policies and procedures consistent with applicable ABC regulations and requirements to reasonably prevent, detect and report bribery and corruption?	Yes
31	Does the Entity have an enterprise wide programme that sets minimum ABC standards?	Yes
32	Has the Entity appointed a designated officer or officers with sufficient experience/expertise responsible for coordinating the ABC programme?	Yes
33	Does the Entity have adequate staff with appropriate levels of experience/expertise to implement the ABC programme?	Yes
34	Is the Entity's ABC programme applicable to:	Not Applicable
35	Does the Entity have a global ABC policy that:	
35 a	Prohibits the giving and receiving of bribes? This includes promising, offering, giving, solicitation or receiving of anything of value, directly or indirectly, if improperly intended to influence action or obtain an advantage.	Yes
35 b	Includes enhanced requirements regarding interaction with public officials?	Yes
35 c	Includes a prohibition against the falsification of books and records (this may be within the ABC policy or any other policy applicable to the Legal Entity)?	Yes
36	Does the Entity have controls in place to monitor the effectiveness of their ABC programme?	Yes
37	Does the Board receive, assess, and challenge regular reporting on the status of the ABC programme?	Yes
38	Has the Entity's ABC Enterprise Wide Risk Assessmen (EWRA) been completed in the last 12 months?	Yes
38 a	If N, provide the date when the last ABC EWRA was completed.	December 2024
39	Does the Entity have an ABC residual risk rating that is the net result of the controls effectiveness and the inherent risk assessment?	Yes
40	Does the Entity's ABC EWRA cover the inherent risk	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \
**	components detailed below: Potential liability created by intermediaries and	Yes

40 b		
	Corruption risks associated with the countries and industries in which the Entity does business, directly or through intermediaries	Yes
40 с	Transactions, products or services, including those that involve state-owned or state-controlled entities or public officials	Yes
40 d	Corruption risks associated with gifts and hospitality, hiring/internships, charitable donations and political contributions	Yes
40 e	Changes in business activities that may materially increase the Entity's corruption risk	Yes
41	Does the Entity's internal audit function or other independent third party cover ABC Policies and Procedures?	Yes
42	Does the Entity provide mandatory ABC training to:	
42 a	Board and senior Committee Management	Yes
42 b	1st Line of Defence	Yes
42 c	2nd Line of Defence	Yes
42 d	3rd Line of Defence	Yes
42 e	Third parties to which specific compliance activities subject to ABC risk have been outsourced	Not Applicable
42 f	Non-employed workers as appropriate (contractors/consultants)	Not Applicable
43	Does the Entity provide ABC training that is targeted to specific roles, responsibilities and activities?	Yes
44	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
44 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	N/A
45	If appropriate, provide any additional information/context to the answers in this section.	N/A
E ANI C	 TF & SANCTIONS POLICIES & PROCEDURES	Consideration and the second consideration of the consideration and the second consideration and the se
46	Has the Entity documented policies and procedures	
	consistent with applicable AML, CTF & Sanctions regulations and requirements to reasonably prevent, detect and report:	
40	dotostana report.	[발발] 현재하다 악하기를 수 있을까지 않는 교육 현황하면 유현지 시간 사는 시간인을 하다 하는 이 집에 들어 들는 그들이 같다.
46 a	Money laundering	Yes
46 b		Yes Yes
	Money laundering	Yes
46 b	Money laundering Terrorist financing	
46 b 46 c	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at	Yes Yes Yes
46 b 46 c 47	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and	Yes Yes Yes
46 b 46 c 47	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against:	Yes Yes Yes
46 b 46 c 47 48	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards	Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results?	Yes Yes Yes Yes Yes Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards	Yes
46 b 46 c 47 48 48 a 48 a 48 a 48 b 48 b	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results?	Yes Yes Yes Yes Yes Yes Yes Yes
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46 b 46 c 47 48 48 a 48 a 48 a1 48 b 48 b1 49 a 49 b	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b 49 c 49 d	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFIs Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides	Yes
46 b 46 c 47 48 48 a 48 a 48 b 48 b 49 b 49 c 49 d 49 e	Money laundering Terrorist financing Sanctions violations Are the Entity's policies and procedures updated at least annually? Has the Entity chosen to compare its policies and procedures against: U.S. Standards If Y, does the Entity retain a record of the results? EU Standards If Y, does the Entity retain a record of the results? Does the Entity have policies and procedures that: Prohibit the opening and keeping of anonymous and fictitious named accounts Prohibit the opening and keeping of accounts for unlicensed banks and/or NBFis Prohibit dealing with other entities that provide banking services to unlicensed banks Prohibit dealing with another entity that provides services to shell banks Prohibit opening and keeping of accounts for	Yes

481 Define the process for excalating financial crime risk is perspectived any supplications and why instricted by employees 48			
terminating estating customer relationships due to financial crime risk. Define the process for outling clients for financial crime reasons that spling across the entity including furnity branches and affiliation of the process and combines to identify and for identification	49	issues/potentially suspicious activity identified by	Yes
crime reasons that applies across the ontity, including foreign branches and affiliated and the cathorist state were previously sold of financial crime reasons if they seek to re-establish a relationship and cathorists that were previously sold of financial crime reasons if they seek to re-establish a relationship and cathorists. The processes for the maintenance of internal variables? 49 n Outline the processes for the maintenance of internal variables? 50 Has the Entity defined a flat between deciliantly or similar document with offense a risk boundary around their business? 51 Does the Entity have necord retention procedures that comply with applicable leavs? 51 If Y, what is the retention particular to comply with applicable leavs? 52 Confirm that all responses provided in the above Section are representation of all the LES branches 52 If X, carrier which questions that differences relate to and the branches that this applies to. 52 If X, carrier which questions that differences relate to and the branches that this applies to. 53 If appropriate, provide any additional information contact to the answers in this section. 54 One to entity or AM. COTE WITA cover the Inherent risk components detailed below: 54 Contact Yes 54 Contame to Product Yes 55 Does the Entity's AM. COTE WITA cover the contact effectiveness components detailed below: 55 Does the Entity's AM. COTE WITA cover the contact effectiveness components detailed below: 55 Does the Entity's AM. COTE WITA cover the contact effectiveness components detailed below: 55 Does the Entity's AM. COTE WITA cover the contact effectiveness components detailed below: 56 Per Bernatical Components of the Cover the Inherent risk components detailed below: 57 Does the Entity's AM. ECTE WITA cover the contact effectiveness components detailed below: 58 Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: 57 Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: 58 Destination of the Cover	49 j	terminating existing customer relationships due to	Yes
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Syears or more	51		Yes
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information/context to the answers in this section. S. AML, CTF, & SANCTIONS RISK ASSESSMENT 54 Does the Entity's AML & CTF EWRA cover the inherent risk components detailed below: 54 a Client Yes 54 b Product Yes 54 c Channel Yes 55 Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: 55 a Transaction Monitoring Yes 55 b Customer Due Diligence Yes 55 c PEP Identification Yes 55 c PEP Identification Yes 55 d Transaction Screening Yes 56 d Name Screening against Adverse Media/Negative News 55 G Overnance Yes 56 G A Governance Yes 57 Management Information Yes 56 A If N, provide the date when the last AML & CTF EWRA was completed. 57 Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: 57 Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: 57 C Channel Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 b Governance Yes 58 b Covernance Yes 58 c List Management Fixed Province Aves	52 a	If N, clarify which questions the difference/s relate to	N/A
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54 b Product Yes 54 c Channel Yes 55 Geography Yes 55 Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: 55 a Transaction Monitoring Yes 55 b Customer Due Diligence Yes 55 c PEP Identification Yes 55 d Transaction Screening Yes 55 f Training and Education Yes 55 f Training and Education Yes 55 f Training and Education Yes 55 g Governance Yes 55 g Governance Yes 55 h Management Information Yes 56 Has the Entity's AML & CTF EWRA been completed in the last 12 months? 56 Has the Entity's AML & CTF EWRA been completed in the last 12 months? 56 a If N, provide the date when the last AML & CTF EWRA was completed. 57 Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: 57 a Clilent Yes 57 a Channel Yes 57 d Geography 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 b Governance 58 c List Management	54 a		STATE CONTROL OF THE STATE OF T
54 c Channel Yes 54 d Geography Yes 55 Does the Entity's AML & CTF EWRA cover the controls effectiveness components detailed below: 55 a Transaction Monitoring Yes 55 b Customer Due Diligence Yes 55 c PEP Identification Yes 55 d Transaction Screening Yes 55 e Name Screening against Adverse Media/Negative News Yes 55 f Training and Education Yes 55 g Governance Yes 55 h Management Information Yes 56 Has the Entity's AML & CTF EWRA been completed in the last 12 months? Yes 56 a If N, provide the date when the last AML & CTF N/A 57 a Client Yes 57 a Client Yes 57 c Channel Yes 58 d Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 b Governance Yes 58 c List Management Yes		Product	Yes
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State	55		
55 c PEP Identification Yes 55 d Transaction Screening Yes 55 e Name Screening against Adverse Media/Negative News 55 f Training and Education Yes 55 g Governance Yes 55 h Management Information Yes 56 h Has the Entity's AML & CTF EWRA been completed in the last 12 months? 56 a If N, provide the date when the last AML & CTF EWRA was completed. 57 Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: 57 a Client Yes 57 b Product Yes 57 c Channel Yes 57 d Geography Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management			
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Name Screening against Adverse Media/Negative News Yes			
55 f Training and Education Yes 55 g Governance Yes 55 h Management Information Yes 56 h Has the Entity's AML & CTF EWRA been completed in the last 12 months? 56 a If N, provide the date when the last AML & CTF EWRA was completed. 57 Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: 57 a Client Yes 57 b Product Yes 57 c Channel Yes 57 d Geography Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes		Name Screening against Adverse Media/Negative	
S5 g Governance Yes	55 f		Yes
Management Information Yes			
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57 a Client Yes 57 b Product Yes 57 c Channel Yes 57 d Geography Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes	56 a		N/A
57 b Product Yes 57 c Channel Yes 57 d Geography Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes	1		
57 c Channel Yes 57 d Geography Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes		Does the Entity's Sanctions EWRA cover the inherent risk components detailed below:	
57 d Geography Yes 58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes	57 a	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client	Yes
58 Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes	57 a 57 b	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product	Yes Yes
effectiveness components detailed below: 58 a Customer Due Diligence Yes 58 b Governance Yes 58 c List Management Yes	57 a 57 b 57 c	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel	Yes Yes Yes
58 b Governance Yes 58 c List Management Yes	57 a 57 b 57 c 57 d	Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: Client Product Channel Geography	Yes Yes Yes
58 c List Management Yes	57 a 57 b 57 c 57 d 58	Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below:	Yes Yes Yes Yes
	57 a 57 b 57 c 57 d 58	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: Customer Due Diligence	Yes Yes Yes Yes Yes
St Management information Tes	57 a 57 b 57 c 57 d 58 58 a 58 b	Does the Entity's Sanctions EWRA cover the Inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: Customer Due Diligence Governance	Yes Yes Yes Yes Yes Yes Yes
	57 a 57 b 57 c 57 d 58 58 a 58 b 58 c	Does the Entity's Sanctions EWRA cover the inherent risk components detailed below: Client Product Channel Geography Does the Entity's Sanctions EWRA cover the controls effectiveness components detailed below: Customer Due Diligence Governance List Management	Yes Yes Yes Yes Yes Yes Yes Yes Yes

58.0	Nama Caroonina	
58 e 58 f	Name Screening	Yes
58 g	Transaction Screening Training and Education	Yes
50 g	Has the Entity's Sanctions EWRA been completed in	Yes
	the last 12 months?	Yes
59 a	If N, provide the date when the last Sanctions EWRA was completed.	N/A
60	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
60 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	N/A
61	If appropriate, provide any additional information/context to the answers in this section.	N/A
7. KYC,	 CDD and EDD	
62	Does the Entity verify the identity of the customer?	Yes
63	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
64	Which of the following does the Entity gather and retain when conducting CDD? Select all that apply:	
64 a	Customer identification	Yes
64 b	Expected activity	Yes
64 c 64 d	Nature of business/employment Ownership structure	Yes
64 e	Product usage	Yes
64 f	Purpose and nature of relationship	Yes
64 g	Source of funds	Yes Yes
64 h	Source of wealth	Yes
65	Are each of the following identified:	
65 a	Ultimate beneficial ownership	Yes
65 a1	Are ultimate beneficial owners verified?	Yes
65 b	Authorised signatories (where applicable)	Yes
65 c	Key controllers	Yes
65 d 66	Other relevant parties	Yes
67	What is the Entity's minimum (lowest) threshold applied to beneficial ownership identification?	25%
	Does the due diligence process result in customers receiving a risk classification?	Yes
67 a	If Y, what factors/criteria are used to determine the customer's risk classification? Select all that apply:	
67 a1	Product Usage	Yes
67 a2	Geography	Yes
67 a3	Business Type/Industry	Yes
67 a4 67 a5	Legal Entity type Adverse Information	Yes
67 a6	Other (specify)	Yes
		PEPs (automatic High Risk)/ Public -Quoted Entities / Number of Employees / Date of Inc.
68	For high risk non-individual customers, is a site visit a part of your KYC process?	Yes
68 a	If Y, is this at:	
68 a1	Onboarding	Yes
68 a2 68 a3	KYC renewal Trigger event	Yes
68 a4	Other	Yes Places called
68 a4a	If yes, please specify "Other"	Please select N/A
69	Does the Entity have a risk based approach to screening customers for Adverse Media/Negative News?	Yes
69 a	If Y, is this at:	
69 a1 69 a2	Onboarding KYC renowed	Yes
U5 a2	KYC renewal	Yes

60.22	Trigger event	Yes
69 a3	Trigger event What is the method used by the Entity to screen for	163
70	Adverse Media/Negative News?	Automated
71	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
71 a	If Y, is this at:	
71 a1	Onboarding	Yes
71 a2	KYC renewal	Yes
71 a3	Trigger event	Yes
72	What is the method used by the Entity to screen PEPs?	Automated
73	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
74	Is KYC renewed at defined frequencies based on risk rating (Periodic Reviews)?	Yes
74 a	If yes, select all that apply:	
74 a1	Less than one year	Yes
74 a2	1 – 2 years	Yes
74 a3	3 – 4 years	Yes
74 a4	5 years or more	No
74 a5	Trigger-based or perpetual monitoring reviews	Yes
74 a6	Other (Please specify)	KYC renewal is bassed on customer's risk raiting. High-risk customer are renewed every year. Customer with other ratings are renewed at least every 3 years, renewal can be triggered by transactional monitoring alerts, name-screening alerts, negative news hits, etc.
75	Does the Entity maintain and report metrics on current and past periodic or trigger event due diligence reviews?	Yes
76	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?	
76 a	Arms, defence, military	Prohibited
76 b	Respondent Banks	Do not have this category of customer or industry
76 b1	If EDD or restricted, does the EDD assessment contain the elements as set out in the Wolfsberg Correspondent Banking Principles 2022?	Yes
76 c	Embassies/Consulates	Prohibited
76 d	Extractive industries	EDD on risk-based approach
76 e	Gambling customers	Prohibited
	General Trading Companies	EDD on risk-based approach
76 f		Prohibited
76 g	Marijuana-related Entities	
76 h	MSB/MVTS customers	EDD on risk-based approach
76 i	Non-account customers	Prohibited *** *** ***
76 j	Non-Government Organisations	EDD on risk-based approach
76 k	Non-resident customers	EDD on risk-based approach
761	Nuclear power	Prohibited
	Payment Service Providers	EDD on risk-based approach
76 m		EDD on risk-based approach
76 n	PEPs	
76 o	PEP Close Associates	EDD on risk-based approach
76 p	PEP Related	EDD on risk-based approach
76 q	Precious metals and stones	Prohibited
76 r	Red light businesses/Adult entertainment	Prohibited
76 s	Regulated charities	EDD on risk-based approach
76 t	Shell banks	Prohibited
76 u	Travel and Tour Companies	EDD on risk-based approach
		Prohibited
76 v	Unregulated charities	EDD on risk-based approach
76 W	Used Car Dealers	
76 x	Virtual Asset Service Providers	Prohibited
76 y	Other (specify)	PROHIBITED: Trader of exotic an endangered animals / entities with POBox domicilles / bearer shares companies
77	If restricted, provide details of the restriction	Restriction of international wire transfer: transactions with third parties; local USD payments (SPID)
1		

78 a	If Y indicate who provides the approval:	
79 a	Does the Entity have specific procedures for	Both
13	onboarding entities that handle client money such as lawyers, accountants, consultants, real estate agents?	Yes
80	Does the Entity perform an additional control or quality review on clients subject to EDD?	Yes
81	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
81 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	N/A
82	If appropriate, provide any additional information/context to the answers in this section.	N/A
8. MONITO	DRING & REPORTING	
83	Does the Entity have risk based policies, procedures and monitoring processes for the identification and reporting of suspicious activity?	Yes
84	What is the method used by the Entity to monitor transactions for suspicious activities?	Automated
84 a	If manual or combination selected, specify what type of transactions are monitored manually	N/A
84 b	If automated or combination selected, are internal system or vendor-sourced tools used?	Both
84 b1	If 'Vendor-sourced tool' or 'Both' selected, what is the name of the vendor/tool?	ORACKE Oracle Financial Services Abalytucal Applications Anti-Money Laundering (OFSAA) AML System (internal system)
84 b2	When was the tool last updated?	< 1 year
84 b3	When was the automated Transaction Monitoring application last calibrated?	<1 year
85	Does the Entity have regulatory requirements to report suspicious transactions?	Yes
85 a	If Y, does the Entity have policies, procedures and processes to comply with suspicious transaction reporting requirements?	Yes
86	Does the Entity have policies, procedures and processes to review and escalate matters arising from the monitoring of customer transactions and activity?	Yes
37	Does the Entity have a data quality management programme to ensure that complete data for all transactions are subject to monitoring?	Yes
38	Does the Entity have processes in place to respond to Request For Information (RFIs) from other entities in a timely manner?	Yes
39	Does the Entity have processes in place to send Requests for Information (RFIs) to their customers in a timely manner?	Yes
0	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
)0 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to	N/A .
	If appropriate, provide any additional information/context to the answers in this section.	N/A
PAYMEN	T TRANSPARENCY.	
	Does the Entity adhere to the Wolfsberg Group	A STATE OF THE STA
1	Payment Transparency Standards?	Yes

93	Does the Entity have policies, procedures and	
	processes to comply with and have controls in place to ensure compliance with:	
93 a	FATF Recommendation 16	Yes
93 b	Local Regulations	Yes
93 b1	If Y, specify the regulation	Rules an Regulation applicable to Mexican payments systems in MXN and USD administered by the Cnetral Bank (SPEI - SPID). 16th Rule (DCG) opertaining to Article 115 of the Credit Institutionc Law (LIC).
93 с	lf N, explain	N/A
94	Does the Entity have controls to support the inclusion of required and accurate originator information in cross border payment messages?	Yes
95	Does the Entity have controls to support the inclusion of required beneficiary information cross-border payment messages?	Yes
95 a	If Y, does the Entity have procedures to include beneficiary address including country in cross border payments?	Yes
96	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
96 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	N/A
97	If appropriate, provide any additional information/context to the answers in this section.	N/A
10. SANC	TIONS	
98	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
99	Does the Entity have policies, procedures, or other controls reasonably designed to prevent the use of another entity's accounts or services in a manner causing the other entity to violate sanctions prohibitions applicable to the other entity (including prohibitions within the other entity's local jurisdiction)?	Yes
100	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
101	Does the Entity screen its customers, including beneficial ownership information collected by the Entity, during onboarding and regularly thereafter against Sanctions Lists?	Yes
102	What is the method used by the Entity for sanctions screening?	Automated
102 a	ff 'automated' or 'both automated and manual' selected:	
102 a1	Are internal system of vendor-sourced tools used?	Internal System
102 a1a	If a 'vendor-sourced tool' or 'both' selected, what is the name of the vendor/tool?	N/A
102 a2	When did you last test the effectiveness (of finding true matches) and completeness (lack of missing data) of the matching configuration of the automated tool? (If 'Other' please explain in Question 110)	< 1 year
103	Does the Entity screen all sanctions relevant data, including at a minimum, entity and location information, contained in cross border transactions against Sanctions Lists?	Yes
104	What is the method used by the Entity?	Automated

105	Does the Entity have a data quality management programme to ensure that complete data for all transactions are subject to sanctions screening?	Yes
106	Select the Sanctions Lists used by the Entity in its sanctions screening processes:	
106 a	Consolidated United Nations Security Council Sanctions List (UN)	Used for screening customers and beneficial owners and for filtering transactional data
106 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
106 c	Office of Financial Sanctions Implementation HMT (OFSI)	Used for screening customers and beneficial owners and for filtering transactional data
106 d	European Union Consolidated List (EU)	Used for screening customers and beneficial owners and for filtering transactional data
106 e	Lists maintained by other G7 member countries	Used for screening customers and beneficial owners and for filtering transactional data
106 f	Other (specify)	Blocked Persons List (from the Mexican Ministry of Finance -FIU) used for screening customers and beneficial owners and for filtering transactional data. Shell companies list (Mexican Ministry of Finance - SAT / Art. 69B)
107	When regulatory authorities make updates to their Sanctions list, how many business days before the entity updates their active manual and/or automated screening systems against:	
107 a	Customer Data	Same day to 2 business days
107 b 108	Transactions	Same day to 2 business days
	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?	No
109	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
109 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	N/A
110	If appropriate, provide any additional information/context to the answers in this section.	N/A
	NG & EDUCATION	
111	Does the Entity provide mandatory training, which includes:	
111.a	Identification and reporting of transactions to government authorities	Yes
111 b	Examples of different forms of money laundering, terrorist financing and sanctions violations relevant for the types of products and services offered	Yes
111 c	Internal policies for controlling money laundering, terrorist financing and sanctions violations	Yes
111 d	New issues that occur in the market, e.g. significant regulatory actions or new regulations	Yes
111 e	Conduct and Culture	Yes
111 f	Fraud	Yes
112	Is the above mandatory training provided to:	
112 a 112 b	Board and Senior Committee Management 1st Line of Defence	Yes
112 B	2nd Line of Defence	Yes Yes
112 d	3rd Line of Defence	Yes
112 e	Third parties to which specific FCC activities have been outsourced	Not Applicable
112 f	Non-employed workers (contractors/consultants)	No
113	Does the Entity provide AML, CTF & Sanctions training that is targeted to specific roles, responsibilities and high-risk products, services and activities?	Yes
114	Does the Entity provide customised training for AML, CTF and Sanctions staff?	Yes
114 a	If Y, how frequently is training delivered?	Annually
115	Confirm that all responses provided in the above Section are representative of all the LE's branches	Yes
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and the branchies that this applies to. If appropriate, provide any additional information/context to the answers in this section. If appropriate, provide any additional information to the answers in this section. If Quality ASSURANCE COMPLIANCE TESTING. Does the Entity have a program wide fish based cartification in AML-CFT experts also certified by our regulator. If Quality ASSURANCE COMPLIANCE TESTING. Des the Entity have a program wide fish based conflicted to the experiment of the independent Audit function? If Description are registerable to the independent Audit function? If Description are registerable of all the LES based Compliance Testing process (separate from the independent Audit function?) If N. clarify which questions the difference register to the program of the program wide fish based compliance registerable of all the LES branches section are registerable of all the LES branches are registerables to the branches that this applies to. If appropriate, provide any additional information-location to the answers in this section. If appropriate, provide any additional information-location to the answers in this section. If appropriate, provide any additional information-location to the answers in this section. If appropriate, provide any additional information-location to the answers in this section. If appropriate, provide any additional information-location to the answers in this section. If appropriate, provide any additional information-location to the answers in this section. If a didition to inspections by the government application to the answers in this section. If a didition to inspections by the government application to the provides of the p			
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Country Assurance programme for financial orine (separate from the independent Audit Assurance) (separate from the Compliance feeling process) (separate from the Addit Compliance feeling process) (separate from the Addit Compliance) (separate from the Addit Complian	116	If appropriate, provide any additional information/context to the answers in this section.	outcoroad (a 112 a) because by regulation, as providers of such services, they required
Country Assurance programme for financial orine (separate from the independent Audit Assurance) (separate from the Compliance feeling process) (separate from the Addit Compliance feeling process) (separate from the Addit Compliance) (separate from the Addit Complian	40 00 141 17	VASSUPANCE/COMPULANCE TESTING	
Caulity Assurance programm for financial crime (separate from the independent Audit function)? 118 Does the Entity have a program wide risk based Compliance Testing process (separate from the independent Audit function)? 119 a William that all responses provided in the above Section are representative of all the LES branches 119 a William will be considered to the Section of the Section are representative of all the LES branches 119 a William wil	12. QUALII 117	Does the Entity have a program wide risk based	METERIAL ANTERIOR ANTERIOR ANTERIOR FOR A STANDARD AND ANTERIOR AND ANTERIOR ANTERIOR AND A STANDARD AND A
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Section are representative of all the LES branches If a line (Lardy which questions the difference) relate to and the branchies that this applies to. If appropriate, provide any additional information context to the answers in this section. If appropriate, provide any additional information context to the answers in this section. If appropriate, provide any additional information inspection by the government of the provide any additional information inspection by the government of the provide any additional organization of the information of the informat	118	Compliance Testing process (separate from the independent Audit function)?	Yes
and the branchies that this applies to. If appropriate, provide any additional information. Information. Information. Information to the answers in this section. It addition to inspections by the government. In addition to inspection by the government of government of the government of government of the governm	119	Section are representative of all the LE's branches	Yes
Information/context to the answers in this section. 13. AUDIT 12. In addition is impactions by the government of the procession of the process of the proc	119 a	and the branch/es that this applies to.	N/A
### Addition to inspections by the government supervisor/sequations, does the Entity have an internal audit function, a testing function or other independent third party, or both, that assesses FCC AML, OTF, ABC, Fraud and Sanctions policides and practices on a regular hasis? ### How often is the Entity audited on its AML, OTF, ABC, Fraud and Sanctions programme by the following: ### Practical Audit Department ### Practical Audit Department ### Practical Audit Department ### Practical Audit Department ### Practical Practical Audit Department ### Practical Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Internation or other independent third party cover the following areas: ### Practical Audit Internation areas: ### Practical Audit Internation and Internation Audit Internation	120	If appropriate, provide any additional information/context to the answers in this section.	N/A
### Addition to inspections by the government supervisor/sequations, does the Entity have an internal audit function, a testing function or other independent third party, or both, that assesses FCC AML, OTF, ABC, Fraud and Sanctions policides and practices on a regular hasis? ### How often is the Entity audited on its AML, OTF, ABC, Fraud and Sanctions programme by the following: ### Practical Audit Department ### Practical Audit Department ### Practical Audit Department ### Practical Audit Department ### Practical Practical Audit Department ### Practical Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Introduction or other independent third party cover the following areas: ### Practical Audit Internation or other independent third party cover the following areas: ### Practical Audit Internation areas: ### Practical Audit Internation and Internation Audit Internation	13 AUDIT		
Fraud and Sanctions programme by the following: Internal Audit Department External Third Party Does the internal audit function or other independent third party over the following areas: 123 a Does the internal audit function or other independent third party over the following areas: 123 a PAML, CTF, ABC, Fraud and Sanctions policy and procedures Enterprise Wide Risk Assessment Pes 123 b Enterprise Wide Risk Assessment Pes 123 c Governance Pyes 123 a Name Screening & List Management Pes 123 a Name Screening & List Management Pes 123 f Reporting Metrics & Management information Pes 123 g Suspicious Activity Filling Pes 123 p Technology Pes 123 p Tensaction Monitoring Pes 123 p Transaction Screening Including for sanctions Pes 123 p Transaction Monitoring Pes 124 praining & Education Pes 125 Confirm that all responses provided in the above section are representative of all the LE's branches 125 Confirm that all responses provided in the above section are representative of all the LE's branches 126 If appropriate, provide any additional information/context to the answers in this section. 126 If appropriate, provide any additional information/context to the answers in this section. 127 Does the Entity have a dedicated team responsible Pes 128 Does the Entity have a dedicated team responsible Pes 129 p Des the Entity have a dedicated team responsible Pes 129 p Des the Entity have a dedicated team responsible Pes 129 p Des the Entity have a dedicated team responsible Pes 129 p Des the Entity have a dedicated team responsible Pes 129 p Des the Entity have a dedicated team responsible Pes 120 p Des the Entity have a dedicated team responsible Pes 120 p Des the Entity have a dedicated team responsible Pes 120 p Des the Entity have a dedicated team responsible Pes 121 p Des the Entity have a dedicated team responsible	121	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, ABC, Fraud and Sanctions policies and practices on a regular basis?	
External Third Party Component-based reviews	122	Fraud and Sanctions programme by the following:	
Does the internal audit function or other independent third party cover the following areas: 123 a MAIL, CTF, ABC, Fraud and Sanctions policy and procedures 123 b Enterprise Wide Risk Assessment 125 c Governance 126 WYC/CDD/EDD and underlying methodologies 127 Yes 127 Reporting/Metrics & Management 128 y Suspicious Activity Filing 129 Suspicious Activity Filing 120 Yes 121 Transaction Screening a List Management information 120 Yes 121 Transaction Monitoring 121 Transaction Screening including for sanctions 122 Transaction Screening including for sanctions 123 Transaction Screening including for sanctions 124 Are adverse findings from internal & external audit tracked to completion and assessed for adequacy and completeness? 125 Confirm that all responses provided in the above section are representative of all the LE's branches 125 If, Clarify which questions the difference/s relate to and the branch/es that this applies to. 126 If appropriate, provide any additional information/context to the answers in this section. 127 Does the Entity have policies in place addressing fraud risk? 128 Does the Entity have a dedicated team responsible 129 Yes 120 Does the Entity have a dedicated team responsible 129 Yes 120 Does the Entity have a dedicated team responsible 120 Yes	122 a		
third party cover the following areas: AML_CTF, ABC, Fraud and Sanctions policy and procedures procedures Enterprise Wide Risk Assessment Yes Covernance Yes XYCCDD/EDD and underlying methodologies Yes XYSCOD/EDD and underlying methodologies Y			COMPONENT-DASSECT reviews
procedures Finterprise Wide Risk Assessment Yes		third party cover the following areas:	
123 c Governance Yes 123 d KYC/CDD/EDD and underlying methodologies Yes 123 e Name Screening & List Management Yes 123 f Reporting/Metrics & Management information Yes 123 g Suspicious Activity Filling Yes 123 h Technology Yes 123 h Technology Yes 123 l Transaction Monitoring Yes 123 l Transaction Screening including for sanctions Yes 123 l Transaction Screening including for sanctions Yes 123 l Training & Education Yes 123 l Other (specify) Customer's file update 124 Are adverse findings from internal & external audit tracked to completion and assessed for adequacy and completeness? 125 Confirm that all responses provided in the above section are representative of all the LE's branches 125 a If N, clarify which questions the difference/s relate to and the branch/es that this applies to. 126 If appropriate, provide any additional information/context to the answers in this section. 127 Does the Entity have policies in place addressing fraud risk? 128 Does the Entity have a dedicated team responsible 129 Does the Entity have a dedicated team responsible 120 Does the Entity have a dedicated team responsible 121 Does the Entity have a dedicated team responsible 122 Does the Entity have a dedicated team responsible 123 Does the Entity have a dedicated team responsible	123 a	procedures	Yes
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Does the Entity have a dedicated team responsible for preventing & detecting fraud? Yes		Does the Entity have policies in place addressing fraud risk?	
	128	Does the Entity have a dedicated team responsible for preventing & detecting fraud?	Yes

129	Does the Entity have real time monitoring to detect fraud?	Yes
130	Do the Entity's processes include gathering additional information to support its fraud controls, for example: IP address, GPS location, and/or device ID?	Yes
131	Confirm that all responses provided in the above section are representative of all the LE's branches	Yes
131 a	If N, clarify which questions the difference/s relate to and the branch/es that this applies to.	N/A
132	If appropriate, provide any additional information/context to the answers in this section.	N/A

Declaration Statement

The Financial Institution commits to file ape

Wolfsberg Group Correspondent Banking Due Dillgence Questionnaire 2023 (CBDDQ V1.4)
Declaration Statement (To be signed by Global Head of Correspondent Banking or equivalent position holder AND Group Money Laundering Prevention Officer, Global Head of Anti- Money Laundering, Chief Compliance Officer, Global Head of Financial Crimes Compliance OR equivalent)

Banco Monex SA IBM Monex Grupo Financiero (Financial Institution name) is fully committed to the fight against financial crime and makes every effort to remain in full compliance with all applicable financial crime laws, regulations and standards in all of the jurisdictions in which it does business and holds accounts. The Financial Institution understands the critical importance of having effective and sustainable controls to combat financial crime in order to protect its reputation and to meet its legal and regulatory obligations. The Financial Institution recognises the importance of transparency regarding parties to transactions in international payments and has adopted/is committed to adopting these

The Financial Institution further certifies it complies with / is working to comply with the Wolfsberg Correspondent Banking Principles and the Wolfsberg Trade Finance Principles. The information provided in this Wolfsberg CBDDQ will be kept current and will be updated no less frequently than every eighteen months.

Luis Raul Arana Chacon (Global Head of Correspondent Banking or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wol g BDDQ are complete and correct to my honest belief, and that I am authorised to execute this declaration on behalf of the Financial Marco Antonio Montiel Velazquez (MLRO or equivalent), certify that I have read and understood this declaration, that the answers provided in this Wolfsberg CBDDQ are complete and correct to my honest belief, and that I am authorised to execute this declaration on behalf of the Financial Institution. January 29th, 2025 (Signature & Date) January 29th, 2025

are supplemental information on a timely basis.

(Signature & Date)

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