

Official Anti-Money Laundering (AML) Policy Declaration

Company Name: [Brokerage Firm Name]

Date: [Date]

1. Policy Statement

[Brokerage Firm Name] is fully committed to the prevention of money laundering and the financing of terrorist activities in accordance with applicable laws and regulations. This Anti-Money Laundering (AML) Policy outlines the principles and standards to which all employees, directors, and agents must adhere to detect and prevent suspicious activities.

2. Customer Due Diligence (CDD)

The firm conducts thorough customer due diligence as part of its account opening and ongoing monitoring procedures. This includes the identification and verification of clients' identities and understanding the intended nature and purpose of the relationship.

3. Record Keeping

All client identification and transaction records are maintained for a minimum period as required by relevant regulations. These records are made available to regulatory and law enforcement authorities upon request.

4. Reporting of Suspicious Activities

Employees are required to promptly report any suspicious activity to the designated AML Compliance Officer. All reports are handled with confidentiality and in compliance with legal obligations.

5. Training and Awareness

The firm ensures that all relevant staff receive regular training on AML obligations, red flags, and internal policies to ensure continued awareness and effective implementation of the AML framework.

6. Responsibilities

It is the duty of all personnel to adhere to this policy and to cooperate fully with the compliance function to prevent financial crime.

Authorized Signatory

[Position]

[Brokerage Firm Name]

Important Notes:

- This document should be reviewed and updated regularly to reflect legislative and regulatory changes.
- Staff must be made aware of the policy and trained to identify potential money laundering activities.
- Non-compliance can result in severe legal and financial penalties for the firm and individuals.

- Always consult local laws and seek legal advice to ensure comprehensive coverage of all AML obligations.
- Keep all AML policies easily accessible for inspections and regulatory reviews.