



Harimau Mint Capital
Level 18 40 Bank Street, London,
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ANTI-MONEY LAUNDERING (AML) PROCEDURE



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ANTI-MONEY LAUNDERING (AML) PROCEDURE

Harimau Mint Capital ("HMC") is committed to combating money laundering, terrorist financing, and other illegal activities. HMC has implemented robust Anti-Money Laundering (AML) procedures to comply with applicable laws and regulations. These procedures are designed to detect and prevent illicit activities and protect the integrity of HMC's services. By using HMC's services, clients ("Clients") agree to abide by these AML procedures.

Customer Due Diligence (CDD):

- 1.1. HMC will conduct thorough customer due diligence on each Client during the account opening process.
- 1.2. Clients are required to provide accurate and complete information, including identification documents and proof of address.
- 1.3. HMC may use third-party identity verification services and databases to verify the information provided by Clients.

Enhanced Due Diligence (EDD):

- 2.1. HMC may perform enhanced due diligence on Clients who pose a higher risk of money laundering or terrorist financing.
- 2.2. EDD measures may include gathering additional information, conducting ongoing monitoring, and implementing additional transactional and relationship controls.

Transaction Monitoring:

- 3.1. HMC will monitor Clients' transactions for suspicious activities that may indicate money laundering, terrorist financing, or other illicit behaviour.
- 3.2. HMC utilises automated monitoring systems and employs trained staff to review and investigate any suspicious transactions promptly.

Reporting Obligations:

- 4.1. HMC is legally obligated to report any suspicious transactions or activities to the appropriate regulatory authorities.
- 4.2. HMC may also freeze or suspend transactions and accounts if there are reasonable grounds to suspect money laundering or terrorist financing.



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Record Keeping:

5.1. HMC will maintain appropriate records of Clients' identification information, transaction history, and related documents for the required retention period.

5.2. Records will be securely stored and made available to regulatory authorities upon request.

Ongoing Monitoring:

6.1. HMC will periodically review and update Clients' information and conduct ongoing monitoring of their transactions and activities.

6.2. Clients are responsible for promptly notifying HMC of any changes to their information or any suspicious activities they become aware of.

Staff Training:

7.1. HMC provides regular training to its employees to enhance their understanding of money laundering and terrorist financing risks and detection methods.

7.2. Staff members are required to comply with AML policies and procedures and report any suspicious activities to the designated compliance officer.

Compliance with Applicable Laws:

8.1. HMC is committed to complying with all applicable AML laws, regulations, and guidelines.

8.2. HMC cooperates with regulatory authorities and law enforcement agencies in their efforts to combat money laundering and terrorist financing.

Client Cooperation:

9.1. Clients are expected to cooperate fully with HMC's AML procedures, including providing accurate information, responding to verification requests, and reporting any suspicious activities.

Confidentiality:

10.1. HMC will maintain the confidentiality of Clients' personal and transactional information, except where required by law or necessary for AML purposes.



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Changes to AML Procedures:

11.1. HMC may update its AML procedures from time to time to align with changes in regulatory requirements.

11.2. Clients will be notified of any material changes to the AML procedures through appropriate channels.

By using HMC's services, Clients acknowledge and agree to comply with these AML procedures. Clients understand that non-compliance may result in restrictions on account activities or termination of the client-broker relationship.