Anti-Money Laundering Statement

反洗钱声明

Product description: Precious Metal, FX, Crude Oil & Index

1. Introduction

1.1. **HUA AN TAI CHANG GLOBAL LIMITED** (hereinafter referred to as the 'Company'), is incorporated under the laws of The Autonomous Island of Anjouan, Union of Comoros with Registration number 15979 having its registered office at Hamchako, Mutsamudu, Autonomous Island of Anjouan Union of Comoros. The Company is holding The International Brokerage and Clearing House License and authorized to conduct all type of brokerage activities in accordance with the Government Notice No. 005 of 2005 (herein the "Law") regulated by the Anjouan Offshore Finance Authority.

1.2. The objects and purposes of the Company is to offer different brokerage services for non-residents of the Autonomous republic of Anjouan; to carry on all or any of the business of the company and, without prejudice to the generality of the foregoing, to carry on, in conjunction with each other or as separate and distinct undertakings, all or any of the following businesses:

- providing direct consultations to investors on investments to clients, including issues concerning the price of securities, investment in securities, buying and selling of securities, as well as related foreign exchange transactions.
- consulting on securities issuance and money arising services.
- arranging and carrying out the distribution of the issuer's securities on a nonguaranteed basis.
- receiving and transmitting clients' orders in connection with securities, effecting transactions in securities for clients' accounts, with clients' funds.
- managing clients' investment portfolios and funds allocated for operations in securities.
- holding clients' investment funds and/or securities, providing safekeeping, custody and nominee services for securities.
- effecting transactions in securities for their own account with their own funds (proprietary trading).
- arranging and carrying out the distribution of the issuer's securities on a guaranteed basis.
- loaning securities to and borrowing securities from clients as well as using their own funds for the acquisition of securities for clients, engaging in short selling as defined in NBG regulations.
- Company services.
- Issuing of own deposit products.
- To provide loans and borrow funds (loan transactions).
- To carry out currency and exchange transactions.

- To hold assets, capital, precision metals, bonds, shares or another financial instrument for third parties.
- To accept cash deposits of any type (depositary transactions).
- Current Account to Corporate and Individual clients
- Fixed term deposit accounts.
- issuing Bank References and Certificates of Good Standing.
- To issue securities and credit cards processing.
- To provide guarantees of any type (guarantee business).
- Multi-Currency Accounts.
- Asset Management like products.
- Investment Consultancy Services.
- Financial Engineering (Private Banking and Wealth Management in combined product solutions)
- To act as intermediary in securities trading.
- To provide other permitted financial services.
- Forex trading.
- Forex Currency Exchange Operator (utility token and security token) CFD contract for difference.

1.3. The Company is committed to combating money laundering and for this reason it has appointed a dedicated Anti-Money Laundering Compliance Officer (the "AMLCO") who is accountable to the Board of Directors and Senior Management of the Company. The AMLCO is further responsible for the training of employees with respect to the Anti-Money Laundering Law and any amendments thereof as well as for the preparation of the internal procedures of the Company.

2. Key Principles

2.1. All of the Company's employees are required to read and acknowledge the Anti-Money Laundering Manual of the Company and shall at all times act under the 'Key Principles' set out therein.

2.2. The Key Principles are:

- Take appropriate steps to protect the Company and its domain from any activities which involve money laundering and terrorist financing.
- The Company must maintain and implement written policies and procedures with respect to combating money laundering, a system of internal controls to ensure

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ongoing compliance with applicable laws which shall be reviewed and monitor by a designated person and to take appropriate action, once suspicious activity is detected, through the reporting of such transactions in line with the guidelines set out by Global Anti- Money Laundering regulations.

- Comply with applicable anti-money laundering and terrorist financing laws and regulations as established by the Global Anti- Money Laundering guidelines.
- All business units of the Company shall follow the AML policies and procedures.
- Report all identified suspicious activities to the extent that it can do so under all applicable foreign and domestic laws.
- Compliance with the Company's AML policies will be monitored through a combination of internal audit and regulatory reviews of compliance with relevant anti-money laundering legislation and/or regulations.
- Retaining all the customer related documents for a period specified as per the Anjouan Offshore Finance Authority.
- The Company does not offer services of opening anonymous accounts.
- Full cooperation with law enforcement and regulatory agencies to the extent that it can do so under all applicable laws.
- Train staff on Know Your Customer and Anti-Money Laundering policies and new AML laws and regulations.

3. Enquiries

For further AML enquiries please contact us at info@hatcgroup.com.

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引言

HUA AN TAI CHANG GLOBAL LIMITED（以下简称"公司"）依据昂儒昂自治岛法律注册成立，注册号为15979，注册地址为昂儒昂自治岛穆察穆杜市哈姆查科区。公司持有国际经纪与清算牌照，并根据2005年第005号政府公告（以下简称"法律"）获准开展所有类型经纪业务，受昂儒昂离岸金融管理局监管。

公司宗旨是为昂儒昂自治共和国境外的企业与个人客户提供多元化经纪服务，包括但不限于：

- 为投资者提供证券价格、证券投资、买卖证券及相关外汇交易的直接咨询服务；
- 证券发行与资金相关服务咨询；
- 以非担保方式安排及执行发行人证券分销；
- 接收并传递客户证券交易指令，以客户资金执行其账户交易；
- 管理客户投资组合及证券操作资金；
- 托管客户投资资金及证券，提供保管、存管及代持服务；
- 以自有资金进行自营证券交易；
- 以担保方式安排及执行发行人证券分销；
- 向客户借入或借出证券，并利用自有资金为客户购买证券，进行符合法规的卖空操作；
- 发行自有存款产品；
- 提供贷款及借款服务；
- 执行货币与外汇交易；
- 为第三方持有资产、资本、贵金属、债券、股票或其他金融工具；
- 接受各类现金存款（存管交易）；
- 为企业及个人客户开立活期账户、定期存款账户；
- 出具银行资信证明及合规证书；
- 发行证券及处理信用卡业务；

- 提供各类担保服务；
- 多币种账户管理；
- 资产管理类产品；
- 投资咨询服务；
- 金融工程（私人银行与财富管理综合解决方案）；
- 担任证券交易中介；
- 外汇交易；
- 外汇货币兑换操作（实用代币与证券代币）差价合约（CFD）。

公司致力于打击洗钱活动，因此指定了一名专门的反洗钱合规官（以下简称“AMLCO”），该官员向公司董事会和高级管理层负责。AMLCO还负责培训员工了解反洗钱法及其任何修订，以及准备公司的内部程序。

关键原则

公司所有员工均需阅读并确认公司的反洗钱手册，并始终按照其中规定的“关键原则”行事。

关键原则包括：

- 采取适当措施保护公司及其领域免受任何涉及洗钱和恐怖主义融资的活动的影响。
- 公司必须维持并实施关于打击洗钱的书面政策和程序，建立内部控制系统，以确保持续遵守适用法律，并由指定人员审查和监控，一旦发现可疑活动，通过报告此类交易来采取适当行动，符合全球反洗钱法规的指导方针。
- 遵守全球反洗钱指导方针确立的适用的反洗钱和恐怖主义融资法律和法规。
- 公司所有业务单位均应遵循AML政策和程序。
- 在所有适用的国内外法律允许的范围内，报告所有已识别的可疑活动。
- 通过内部审计和监管审查相结合的方式监控公司AML政策的遵守情况，审查相关反洗钱立法和/或法规的遵守情况。

- 按照安茹安离岸金融管理局的规定保留所有客户相关文件一段时间。
- 公司不提供开设匿名账户的服务。
- 在所有适用法律允许的范围内，与执法和监管机构充分合作。
- 培训员工了解“了解您的客户”和反洗钱政策以及新的AML法律和法规。

询问

如需进一步的AML询问，请通过info@hatcgroup.com联系我们。

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