




	<p>MLRO or equivalent</p> <ul style="list-style-type: none"> → Is there an individual within your practice who is assigned the role of Money Laundering Reporting Officer (MLRO)? → Are they aware of their obligations and trained appropriately? 	<p>Yes No</p>
	<p>AML Policies Controls and Procedures (PCPs)</p> <ul style="list-style-type: none"> → Do you have a set of up-to-date AML Policies, controls and procedures (PCPs) in place? → Are your staff aware of; have access to, and operate within the PCPs? 	<p>Yes No</p>
	<p>Business Risk Assessment</p> <ul style="list-style-type: none"> → Have you got an up-to-date firm-wide Business Risk Assessment? → Can you evidence that you have conducted a firm-wide risk assessment annually (since November 2018)? 	<p>Yes No</p>
	<p>AML Client Files</p> <ul style="list-style-type: none"> → Do you have well maintained AML records for your clients? → Do you have a documented client risk assessment that determines the level of due diligence to be applied for each client? → Do you have robust procedures for the identification and verification of corporate clients (incl. RBO checks) and private individuals? → Do you screen for Politically Exposed Persons (PEPs) and sanctioned entities or individuals? 	<p>Yes No</p>
	<p>AML Training</p> <ul style="list-style-type: none"> → Do your staff receive appropriate and ongoing AML training? → Do you have well maintained training logs? → Do you document an annual declaration from staff, confirming that they are aware of their obligations and have access to the firm's PCPs and training? 	<p>Yes No</p>
	<p>AML Reporting</p> <ul style="list-style-type: none"> → Do you have an appropriate reporting structure in place to raise Suspicious Transaction Reports? → Do you document an annual compliance review? → Are you registered with GoAML / ROS? 	<p>Yes No</p>

AML HQ is a simple secure portal that addresses all your AML obligations. Book a call with one of our team to see how we can have you set up and compliant in less than 1 hour. www.amlhq.com

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